



*Issuing Department:*

**Office of Education, Faculty and Academic Affairs**

**\*Policy on Performance Expectations for Research Faculty**

## I. Policy Summary

In 2009, upon the recommendation of the School of Medicine's Academic Excellence commission, and with the approval of the New York University Provost, the Dean of the School of Medicine promulgated minimum performance expectations for research faculty, including requirements for extramural funding, and guidance for aligning research faculty compensation policies with achievement of performance expectations, as described in this policy. In 2016, the School of Medicine Academic Excellence Commission was charged to review the current policy. Their findings, with approval from the School of Medicine Faculty Council and the New York University Provost resulted in modifications now incorporated into this policy.

## II. Policy Purpose

The purpose of this policy is to define realistic expectations for research faculty productivity that will result in excellence in an academically viable and financially sustainable way in relation to those of peer institutions. Expectations of salary support on extramural funding and teaching obligations provide a standardized approach to evaluate faculty for merit increases, salary adjustments and incentive rewards for those exceeding expectations.

## III. Applicability of the Policy

This Policy applies to all faculty in the basic science and clinical departments who are paid to do research, have greater than 25% research effort and are appointed to the tenure or scholar tracks (ICE, IE, CIE or RE faculty tracks).

## IV. Definitions

**A. "Teaching Expectations"** means the minimum teaching expectations for faculty of the School of Medicine, as originally set forth in the *Policy on Expectations Regarding Teaching*<sup>1</sup> (Artman II) and as summarized in Schedule A.

*\* Approved by Provost as to performance expectations, March 13, 2008; approved by Provost as to salary adjustments, November 3, 2009; revised as to Section V.C.8., at request of Faculty Council, June 30, 2011. Approved*

<sup>1</sup> The School's Policy on Expectations Regarding Teaching can be found at <https://med.nyu.edu/for-faculty/sites/default/files/expectations-regarding-teaching.pdf>

*by the Provost as to performance expectations 2.0, January 22, 2018. Edited October 7, 2019 to add presence on campus to Schedule D.*

**B. “Education Administration”** means responsibility for organizing a course or program of instruction; it requires a level of responsibility for teaching greater than the common requirements of Artman II, evidenced by a letter of appointment setting forth the responsibilities and percentage of effort attributed to Education Administration. A list of school approved Education Administration positions is provided in Schedule A.

**C. “Educational Responsibilities in Excess of Required Teaching Expectations** means teaching in a School-approved capacity in excess of Teaching Expectations, evidenced by a written agreement issued by the Dean setting forth the responsibilities and percentage of effort attributed to the excess educational responsibilities, or verified by the Office of Medical Education, Graduate Medical Education or the Sackler Institute of Graduate Biomedical Sciences.

**D. “Exceptional Academic Contributions”** means any of the following, which may be credited toward the research effort for calculation of REF for a maximum of 10% credit:

1. Leadership of collaborative research activities (PI or Co-PI on a P, U or other large collaborative grant: 1-2% credit)
2. Submitting a large collaborative grant as project leader with direct costs to NYU in excess of \$750,000/year (5% credit)
3. Serving on NIH and other national peer-review study sections as a permanent member or an ad-hoc committee that meets 3 times or more per year (1-2% credit)
4. Writing successful grant applications for training grants (must be PI of training grant: 1-2% credit)
5. Documented exceptional teaching in excess of required teaching obligations (Artman II) that garners national recognition (1-2% credit)
6. Publishing highly-cited articles of original observations (not reviews) in refereed journals (defined as top 2 journals by impact factor – department specific: 1-2% credit)
7. Publishing influential books (publishing a book as a primary author: 1-2% credit)
8. Election to national academies (1-2% credit)
9. Oral Presentations of noted papers at national or international scholarly meetings (1-2% credit)

**E. “Extramural funding”** means grants (Federal and non-Federal) and may include personal discretionary funds applied to their salary. Personal discretionary funds are funds in non-operating accounts in the name of and under the control of a faculty member to support the faculty member’s research and academic activities. Support from departmental discretionary accounts may be applied to REF at the discretion of the chair, with approval by the dean.

**F. “Junior faculty”** means any faculty member who is within the first five years after initial appointment as Assistant Professor at NYU.

**G. “Non-extramural funding (NEF)”** means funding provided by the School of Medicine.

**H. “Other Administration”** means administrative or leadership appointments evidenced by a letter of appointment setting forth the responsibilities, salary support and percentage of effort attributed to the Administration.

**I. “Required Extramural Funding (REF)”** has the meaning described in Sections V.B. below.

**J. “Research faculty”** means a faculty member who has a full-time faculty appointment and who is compensated for conducting research with a research effort greater than 25%.

**K. “Research compensation”** means the proportion of a research faculty member’s compensation that is attributed to the faculty member’s research activities.

## **V. Policy**

**A. Components of Compensation** The compensation of research faculty is comprised of (i) School-supported compensation (not extramurally funded, or “NEF”), (ii) extramurally funded compensation, and, for some research faculty, (iii) clinical services income.

The NEF percentage of salary supports (i) teaching at the level of Artman II requirements, (ii) service, including committees, (iii) unfunded research activities, (iv) incidental administrative tasks.

### **B. Required Extramural Funding (REF)**

1. **Full-time research activity** Full-time research activity is defined as research effort of 100%. A faculty member who has a full-time faculty appointment in a basic science or clinical department who allocates 100% effort to research is expected to provide from extramural funding at least 60% of the total compensation (or a higher percentage if a faculty member's individual written agreement requires a higher percentage or if there are no pre-existing departmental policies requiring a higher percentage) or NIH Cap (whichever is lower).

2. **Part-time research activity** Part-time research activity is defined as research effort greater than 25% and less than 100%. A faculty member who has a full-time faculty appointment with part-time research activity and a paid research component is are expected to provide from extramural funding at least 60% (or a higher percentage if a faculty member's individual written agreement requires a higher percentage or if there are no pre-existing departmental policies requiring a higher percentage) of the portion of salary that is allocated to research. For non-tenure track faculty the percentage of required extramural funding may be higher than 60% at the discretion of the chair and approval by the Dean. The REF for faculty who divide their time between research and clinical services will be calculated based upon the portion of their total salary that represents research.

3. **Expectations Regarding Teaching** Research faculty who do not fulfill their expectations regarding teaching, if requested by the Chair or Dean, are expected to provide from extramural funding at least 70% of the portion of their salary that is allocated to research. See Schedule A: Guidelines for Education Effort.

4. **Credit for Exceptional Academic Contributions:** Exceptional Academic Contributions made during the academic year being reviewed may be credited towards the REF. The determination whether a faculty member has made Exceptional Academic Contributions and the percentage points that can be credited to REF for such Exceptional

Academic Contributions are determined by the faculty member's Chair, with the approval of the Vice Dean for Education, Faculty and Academic Affairs.

5. **Departmental Policies** For research faculty members in departments that have promulgated a policy requiring members of the department to achieve a higher percentage of extramural funding than that stated in Section V.B.1. or V.B.2, as applicable, the REF is as stated in the departmental policy.
6. **Individual Agreements** For research faculty members whose appointment letters expressly establish a higher percentage of expected extramural funding than that stated in Section V.B.1. or V.B.2., the REF is as stated in the letter agreement. Faculty whose pre-existing agreements state a lower extramural funding requirement will be held to the performance expectations outlined in this policy.
7. **Junior Faculty** In implementing the REF, special consideration will be given to Junior Faculty within the first three (3) years of appointment (or up to five (5) years if documented in offer letter), whose percentages may be lower while they build their portfolio of research support and who are making progress toward achieving the REF without having achieved it.
8. **12-month Average** For purposes of calculating REF achieved, the amount of extramurally funded compensation is the average amount of extramurally funded compensation achieved by a faculty member throughout the prior 12-month period.
9. **NIH Cap**: The REF is subject to and capped at the proportionate NIH salary cap level. The compensation subject to external funding support percentage will be the faculty member's current research salary or the NIH salary cap, whichever is less.
10. **Adjustment for Education Responsibilities in Excess of Required Teaching Expectations (Artman II) or Education Administration or Administration Responsibilities** Faculty who have Education Responsibilities in Excess of Artman II, Education Administration or other Administration responsibilities may be credited with the percentage effort related to those positions upon approval by the Dean's Office. *See schedule B, Guidelines for Calculating Required Extramural Funding (REF).*
11. **Endowed Chair and Professorship Income** For individuals with income from endowed chairs or endowed professorships and with total compensation in excess of the NIH cap, the income from the endowed position should be applied first to the component of compensation that is above the NIH cap. If the income from the endowed position is greater than the difference between the individual's total compensation and the NIH cap, the balance of endowed income can be credited as REF.
12. **Discretionary Funding** If a faculty member's REF is less than 30% and is subject to salary reduction, personal discretionary funds must be applied to meet REF. These funds must be applied first to a faculty member's compensation that is above the NIH cap, before applying the funds to any other purpose. If the faculty member's personal discretionary account has a balance remaining after supporting salary above the NIH cap, the funds must next be used to meet the faculty member's REF. Discretionary funds must be applied to meet REF before they can be applied to support research or other academic activities. For faculty

members whose REF is greater than 30% but less than 60%, personal discretionary accounts may be used to support research with permission of the chair and approval of the dean.

13. **Required Effort on Grants** The School's long-standing policy on institutional cost sharing requires that "all new, continuing, and competing applications to sponsoring agencies for support of research, training or related programs are to reflect a level of institutional base salary expense for compensated faculty and staff commensurate with each individual's proposed effort toward the program/project."<sup>2</sup> The researcher's salary on the grant must be commensurate with the researcher's effort.

14. **Changes in Effort** The required extramural funding percentages are minimum expectations. Research faculty whose extramural funding is above the REF are expected to maintain the higher percentages. Faculty should not reduce effort on grants unless there is a change in grant status, e.g., loss of a grant, addition of another grant, or approved change in the faculty member's effort. Any reduction in effort or salary charged to a grant must be in compliance with federal requirements<sup>3</sup> and School policies.<sup>4</sup> The School will monitor any reductions in effort on funded grants. Reduction in effort or salary charged to a grant must be in compliance with federal requirements<sup>5</sup> and School policies.<sup>6</sup>

### C. **Relationship of REF and Compensation**

The School's salary increase program is merit-based and at the discretion of the School of Medicine. Eligibility for adjustments to compensation for research faculty is related, among other criteria, to achievement of REF. For research faculty, achievement of REF, either through extramural funding alone or through a combination of extramural funding, and exceptional academic contributions, will be the threshold for eligibility for an annual salary increase. Limited exceptions to salary adjustments can be made, with approval of the department chair and the Vice Dean for Education, Faculty and Academic Affairs, for junior faculty and for faculty who demonstrate significant progress toward achieving increased extramural salary support, such as a significant increase in expected support based on grant application activity and the quality of grant proposals as reflected in peer-reviewed critiques. See Schedule C, *Guidelines for Determining Eligibility for Merit Salary Increases for Research Faculty*, and Schedule D, *Guidelines for Salary Adjustments*, summarized below.

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<sup>2</sup> The School's Institutional Cost Sharing Policy can be found at <https://nyumc.ellucid.com/documents/view/6503/?security=60e488f22841f6761cebcbcd2730280f846c0724>

<sup>3</sup> Under Federal grants requirements, researchers must obtain Federal agency approval for a 25% or greater reduction in effort from the level approved at the time of award.

<sup>4</sup> The School's Policy on Effort Reporting for Sponsored Research Projects can be found at <https://nyumc.ellucid.com/documents/view/6504/?security=0be3597fd00ecc84dc1b233f7eb34627f5f16581>

<sup>5</sup> Under Federal grants requirements, researchers must obtain Federal agency approval for a 25% or greater reduction in effort from the level approved at the time of award.

<sup>6</sup> The School's Policy on Effort Reporting for Sponsored Research Projects can be found at <https://nyumc.ellucid.com/documents/view/6504/?security=0be3597fd00ecc84dc1b233f7eb34627f5f16581>

1. **Full merit increase** Research faculty who (a) have met their Artman II obligations and b) have satisfactorily performed Department and School-approved appointments and responsibilities, and (c) have met or exceeded standards for the REF are eligible to receive a full merit increase.
2. **Partial merit increase** Research faculty who (a) have met their required teaching obligations (Artman II) and (b) have satisfactorily performed Department and School-approved appointments and responsibilities, and (c) achieved at least 40% (but not 60%) of REF and have demonstrated progress towards funding as evidenced by grant submissions are eligible to receive a partial merit salary increase, with the specific increase approximately proportional to the degree that their external funding exceeds 40%.
3. **No increase** Research faculty who (a) have not met their required teaching obligations (Artman II), or (b) have not obtained at least 40% REF are not eligible for a salary increase.
4. **Decreases** Tenured research faculty who have not achieved extramural funding of at least 30% after applications of adjustments or safe harbor as described in this policy will receive salary reductions, as set forth in Schedule D, *Guidelines for Salary Adjustment*. Decreases of salaries of non-tenure track faculty members are established according to individual contracts and the School's *Policy on Faculty Appointments Not on the Tenure Track*.<sup>7</sup>
5. **Safe Harbor** A tenured faculty member who has met the REF for each of the prior three years, and who continues actively to pursue extramural funding, will be protected from reduction in salary for two years.
6. **Research Incentives** Faculty who meet or exceed REF will be eligible for incentive supplements to their discretionary funds, in accordance with guidelines to be published by the School on an annual basis.
7. **Chair's Discretion** Department chairs will have the discretion, with approval of the Vice Dean for Education, Faculty and Academic Affairs, to apply the principles described in this policy flexibly when a particular situation justifies a modified result.
8. **Changes in Responsibility** Faculty who are not meeting performance expectations may receive a change of responsibilities that reallocates effort in other areas such as education or clinical services. A faculty member who is offered such a change may request the involvement of an ombudsman, if desired, who will participate in discussions concerning the formulation of the Change of Responsibilities (COR) letter.

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<sup>7</sup> The School's Policy on Faculty Appointments Not on the Tenure Track can be found at [https://central.nyumc.org/policiesprocedures/Documents/Section%2004%20-%20Faculty%20\(SOM\)/Policy%20for%20Faculty%20Appointments%20Not%20on%20the%20Tenure%20Track%20\\_October%202016\\_Final.pdf](https://central.nyumc.org/policiesprocedures/Documents/Section%2004%20-%20Faculty%20(SOM)/Policy%20for%20Faculty%20Appointments%20Not%20on%20the%20Tenure%20Track%20_October%202016_Final.pdf)

#### **D. Letters to Faculty**

In order to assure that all research faculty understand the REF required of them, Chairs will annually inform each faculty member of his/her performance over the past academic year as well as expectations for the coming year, including required extramural funding. For those faculty not meeting expectations, letters should be distributed in the fall of each year.

The School will maintain systematic recordkeeping that permits each faculty member, and his or her department chair, to know what teaching expectations the individual has, and whether or not they are being met. Faculty are expected to maintain accurate records of teaching and service activities within Brightspace, for scheduled activities, and their academic portfolios.

#### **E. Mentoring Committees**

Department Chairs should develop mentoring committees to assist faculty who need assistance in meeting the performance expectations.

#### **F. Advisory Committees**

A mandatory advisory committee composed of members selected by the chair and faculty member, with the approval by the Vice Dean of Education, Faculty and Academic Affairs must be established for each faculty member subject to salary reductions. The advisory committee will assist the faculty member in identifying a plan to improve performance with meaningful milestones.

#### **G. Mediation and Appeals**

The New York University Faculty Handbook, through its Faculty Grievance Procedures, provides appeals processes for tenured faculty who wish to dispute decisions concerning salaries and other aspects of employment. These processes will be in effect and applicable to compensation decisions made in accordance with the performance expectations described in this letter. The Faculty Grievance Procedures state that “attempts shall be made to settle the dispute by informal discussions between the concerned parties, possibly with the assistance of mediators.” In the case of salary decisions made in accordance with these performance expectations, the Dean will convene a committee of three highly-respected senior faculty members, appointed by the Dean in consultation with the Senior Vice President for Health, to serve as a mediation committee to assist in the informal discussion stage of the grievance process. In a particular faculty member’s case, either the affected faculty member or the Dean may seek the assistance of the mediation committee. If the dispute is not settled at the informal stage, the Faculty Grievance Committee will be convoked upon the request of the faculty member in accordance with the Faculty Grievance Procedure.



## **SCHEDULE OF ATTACHMENTS**

- A. Guidelines for Education Effort
- B. Guidelines for Calculating Required Extramural Funding (REF)
- C. Guidelines for Determining Eligibility for Merit Salary Increases for Faculty
- D. Guidelines for Salary Adjustments





## SCHEDULE A

### GUIDELINES FOR EDUCATION EFFORT

All faculty are expected to meet the teaching expectations set forth in the *Policy on Expectations Regarding Teaching*<sup>8</sup> (also known as “Artman II” or the “Artman II Report”) The minimum teaching expectation for a faculty member is 200 Effort Hours or 10% of total effort annually. This must include at least 10 Effort Hours of Type I Effort in formal courses in undergraduate medical education (UME) and at least 10 Effort Hours of Type I Effort in formal courses in the graduate school (Sackler Institute) as defined below.

The following are School-approved teaching activities as described in the School of Medicine’s policy:

#### **Type I Effort: Contact Hours**

*Each Type I Contact Hour is equivalent to 4 Effort Hours. In general, Type I hours reflect scheduled teaching in required formal courses. These include:*

1. Scheduled formal lectures
2. Running a scheduled laboratory for a laboratory-based course or session
3. Leading scheduled small group discussions/conference sessions/case studies/journal clubs
4. Leading simulation sessions

#### **Type II Effort: Contact Hours**

*Each Type II Contact Hour is equivalent to 1 Effort Hour. These include:*

1. Preparation of exam questions
2. Grading exams
3. Evaluating student presentations
4. Leading review sessions
5. Development of new teaching materials (LAMS, Simulation programs, new case studies, TBL)
6. Serving on School of Medicine graduate thesis committees for students in another Principal Investigator’s lab
7. Serving on School of Medicine Honors Program thesis committees
8. Serving on School of Medicine faculty mentoring committees

Credit for 1-3 above applies to those faculty who are not Course, Module, or Section Directors.

*\*Clinical teaching effort will be collected and validated by academic departments in conjunction with faculty, through the use of academic portfolios.*

#### **Type III Effort: Education Administration**

Education administration roles, together with Type I and Type II contact hours, may count towards a faculty member’s teaching obligations. The following are School-approved education administration positions for which specific percent effort will be applied:

- Course/Content/Module/Section/Program/ICI/Pillar/Clerkship/Selective Director
- Residency Program/Fellowship/Graduate Program Director
- Simulation, Team Based Learning, Pillar Coordinator

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<sup>8</sup> The School’s Policy on Expectations Regarding Teaching can be found at <https://med.nyu.edu/for-faculty/sites/default/files/expectations-regarding-teaching.pdf>

- Concentration leader
- Graduate Program Advisor

## EDUCATION ADMINISTRATION EFFORT GUIDELINES

The efforts listed below represent ranges; actual effort should be documented in an offer letter.

	Role	# of Students/Residents/Fellows	Proposed FTE Guidelines*
<b>Undergraduate Medical Education</b>	Type III Effort - Education Administration	-	Effort described in Offer Letter
	Clerkship Director	-	40%
<b>Graduate Medical Education</b>	Program Director - Residency Programs	>30	50%
		15-29	20-50%
		<15	10-20%
	Program Director - Fellowship Programs	6->20	20-30%
		<5	5-10%
	Associate Program Director – Residency Programs	>30	25%
		15-29	10-25%
		<15	5-10%
	Associate Program Director – Fellowship Programs	6->20	10-15%
		<5	2.5-5%
Program Director - non-accredited Programs	-	No School supported effort	
<b>Graduate Student Education</b>	Graduate Advisor	>15	10%
		≤14	5%
	Course Director	>20	15%
		6-14	10%
		≤5	5%
	Module Director - Foundations of Cellular and Molecular Biology I and II	-	10-15% (dependent on semester)
	Course Director - Foundations of Cellular and Molecular Biology I and II	-	10%
	Program Director – Training Programs	>15	10%
		≤15	5%
	Faculty organizing readings, seminars, and tutorials (1.5 credits)	>10	5%
		≤10	2.5%
<b>Other School of Medicine or Medical Center Administration</b>	As determined by the Dean and recorded in a letter of responsibility	-	Effort described in Offer Letter or Change of Responsibility Letter

\*Effort for positions not specified in the above table will be determined based on positions of comparable effort. The efforts listed above represent ranges; actual effort should be documented in an offer letter.

### **Teaching in excess of required teaching obligations (Artman II) and credit towards extramural funding requirement:**

Credit for teaching in excess of Artman II may be issued for the purposes of calculating a faculty member's extramural funding requirement with approval by the Dean's Office.

In order to be considered for credit “in excess of Artman II”, a faculty member must first fulfill his/her expected teaching obligations through the following:

- Minimum of 200 effort hours annually. Of the 200 hours,
  - At least 10 hours of Type I of teaching must be in formal courses in undergraduate medical education (UME)
  - At least 10 hours of Type I of teaching or thesis advising must be in formal courses in the graduate school (Sackler Institute)

As described in the Policy on Expectations Regarding Teaching, each faculty is expected to maintain a record of all teaching activities in Brightspace, for scheduled activities, and the academic portfolio.



## SCHEDULE B

### GUIDELINES FOR CALCULATING REQUIRED EXTRAMURAL FUNDING

#### (REF) Determining the REF

The calculations are as follows:

For **research faculty** who dedicate 100% of effort to research, satisfy teaching requirements at the Artman II level, serve on committees, perform incidental administrative tasks\*:

1. Calculate 60% (or higher percentage if required by a pre-existing agreement or promulgated departmental policies exist) of total compensation or 60% of the applicable year NIH salary cap, whichever is lower, to determine the REF.

*For faculty eligible for EAC credit (see IV.D.) subtract the approved percentage of credit attributable to EAC from 100% to get the “applicable percentage” (AP) then follow Step 2 below.*

For **faculty** who satisfy teaching requirements at the Artman II level, serve on committees, perform research and incidental administrative tasks, **AND** have either Education Responsibilities in Excess of Artman II or Education Administration or Administration responsibilities in the School or the Department, approved by the School in writing or whose appointment includes a paid research component (eg 50% clinical/50% research) or who have eligible EAC credit (see section IV.D.):

1. Subtract the approved percentage effort attributable to the approved Education Responsibilities in Excess of Artman II and/or Education Administration or Administration and/or clinical responsibility from 100%, to get the “applicable percentage”(AP).
2. Multiply total compensation by the AP. This represents the “research compensation”. If the result is greater than the NIH cap, use the cap as the research compensation.
3. Calculate 60% of the result in 2. This represents the REF.

For **faculty with salaries above the NIH cap**, effort and salary support for school-approved responsibilities described above must first be deducted from the portion of the salary that is above the cap to determine research compensation. If the result is greater than or equal to the cap, the cap should be used at the research compensation.



## SCHEDULE C

### GUIDELINES FOR DETERMINING ELIGIBILITY FOR MERIT SALARY INCREASES FOR FACULTY

The Merit Salary Increase Program for faculty will be merit-based in accordance with performance standards set forth by School of Medicine policies. Increases will be determined based on performance during the academic year.

For purposes of increases, the categories of evaluation are as follows:

5. **Exceeds standards** – eligible for full increase or more (if pool monies are available)
4. **Meets standards** – eligible for a full increase
3. **Making Progress in Meeting Standards** – eligible for partial increase.
2. **Needs improvement** – not eligible for an increase
1. **Does not meet standards** – not eligible for an increase

Note: For faculty members who have been in the salary adjustment program, a merit salary increase will not be given *unless the faculty member has met or exceeded standards (category 4 or above).*

#### *Performance Ratings:*

**(5) EXCEEDS STANDARDS:** A faculty member “exceeds standards” if s/he has, for each applicable mission area within the past year:

- Exceeded expectations in administrative leadership roles (if applicable) as stated in employment letter or other written directive by the Department Chair or the Dean ; ***and***
- Exceeded professional and institutional commitments and met all professional competencies. These commitments include time spent on teaching, research, student advising, clinical activities and professional service on committees and in administrative or advisory roles; ***and***
- Achieved an extramural funding level of > 60% (or a higher percentage if a pre-existing agreement specifies a higher percentage), if applicable; ***and***
- Exceeded clinical expectations as stated in the employment letter or other written directive by the Department Chair or the Dean, if applicable.

**(4) MEETS STANDARDS:** A faculty member “meets standards” if s/he has, for each applicable mission area within the past year:

- Satisfied expectations in administrative leadership roles (if applicable) as stated in employment letter or other written directive by the Department Chair or the Dean; *and*
- Satisfied professional and institutional commitments and met all professional competencies. These commitments include time spent on teaching, research, student advising, clinical activities and professional service on committees and in administrative or advisory roles; *and*
- Achieved the School’s minimum extramural funding requirement (or a higher percentage if a pre-existing agreement specifies a higher percentage), if applicable; *and*
- Met clinical expectations as stated in the employment letter or other written directive by the Department Chair or the Dean, if applicable.

**(3) MAKING PROGRESS IN MEETING STANDARDS:** A faculty member is making progress towards meeting standards if within the past year they have met standards in all but one applicable mission area; the faculty member must demonstrate progress in that one mission area:

- Expectations in administrative leadership roles as stated in employment letter or other written directive by the Department Chair or the Dean (if applicable);
- Professional and institutional commitments and all professional competencies. These commitments include time spent on teaching, research, student advising, clinical activities and professional service on committees and in administrative or advisory roles;
- Extramural funding level between 40% and 59% and has demonstrated progress towards funding of 60% (or a higher percentage if a pre-existing agreement specifies a higher percentage) as evidenced by grant submissions, if applicable;
- Clinical expectations as stated in employment letter or other written directive by the Department Chair or the Dean, if applicable.

**REQUIRED DOCUMENTATION:** If a faculty member receives a rating of a “3” they are eligible to receive a partial merit increase (percentage determined annually). The Chair (or direct Supervisor) must communicate the reason(s) for this decision directly to that faculty member. The Chair (or Division Head) must meet with the faculty member to discuss the areas of their performance requiring improvement and the steps which s/he must follow in order to achieve a successful level of performance; a letter which outlines the points discussed during this meeting is required to be given to the faculty member and a copy kept on file within the department. Written confirmation that a meeting was held and documented must be sent to the Office of Faculty Affairs.

**(2) NEEDS IMPROVEMENT:** A faculty member “needs improvement” if s/he has, within the past year if *ANY ONE* of the following below apply:

- Not satisfied expectations in administrative leadership roles (if applicable) as stated in employment letter or other written directive by the Department Chair or the Dean
- Not satisfied professional and institutional commitments and all professional competencies. These commitments include time spent on teaching, research, student advising, clinical activities and professional service on committees and in administrative or advisory roles
- Achieved an extramural funding level between 40% and 59% with no evidence of progress towards funding, if applicable. Please note that for faculty in AEC (full-time appointment and greater than 25% research effort), this single requirement dictates this score.
- Not met clinical expectations as stated in employment letter or other written directive by the Department Chair or the Dean, if applicable.

**(1) DOES NOT MEET STANDARDS:** A faculty member “does not meet standards” if s/he has, within the past year if *MORE THAN ONE* of the following below apply:

- Not satisfied expectations in administrative leadership roles (if applicable) as stated in employment letter or other written directive by the Department Chair or the Dean
- Not satisfied professional and institutional commitments and all professional competencies. These commitments include time spent on teaching, research, student advising, clinical activities and professional service on committees and in administrative or advisory roles
- Not achieved an extramural funding level of at least 40%, if applicable. Please note that for faculty in AEC (full-time appointment and greater than 25% research effort), this single requirement dictates this score.
- Not met clinical expectations as stated in employment letter or other written directive by the Department Chair or the Dean, if applicable.

**REQUIRED DOCUMENTATION:** If a faculty member receives a rating of “1” or “2” they are not eligible to receive a merit increase. The Chair (or direct Supervisor) must communicate the reason(s) for this decision directly to that faculty member. The Chair (or Division Head) must meet with the faculty member to discuss the areas of their performance requiring improvement and the steps which s/he must follow in order to achieve a successful level of performance; a letter which outlines the points discussed during this meeting is required to be given to the faculty member and a copy kept on file within the department. Written confirmation that a meeting was held and documented must be sent to the Office of Faculty Affairs ([facultyaffairs@nyumc.org](mailto:facultyaffairs@nyumc.org)).





**SCHEDULE D**

**GUIDELINES FOR SALARY ADJUSTMENTS**

For tenured faculty members, a salary reduction will occur each year where required extramural salary coverage is less than 30%. This threshold requirement will be implemented over a two year period (25% required extramural funding in the 2017-2018 review period and 30% required extramural funding in the 2018-2019 review period and onward). Adjustments of salaries of non-tenure track faculty members are established according to their individual contracts and the *Policy for Faculty Appointments Not on the Tenure Track*.<sup>9</sup>

Salary reduction for tenured faculty will follow a glide path that will bring a faculty member’s research salary to the base salary by the fifth year of salary reduction. The base salary (defined as the 25<sup>th</sup> percentile of the AAMC basic science departments in the northeast region by rank) defines the base salary for 100% research effort. If research effort is less than 100%, base salary is calculated by multiplying research effort by the base salary.

The Schedule for the glide path is as follows:

<b>YEAR</b>	<b>REDUCTION AMOUNT</b>	<b>CREDIT</b>
1	Total Research Salary x 5%	N/A
2	Total Research Salary x 10%	N/A
3	(Total Research Salary - Base Salary (prorated by research effort))/3	If average REF for last 5 years is: <ul style="list-style-type: none"> <li>• Below 40% = No credit</li> <li>• 40-49% = 3% credit</li> <li>• &gt;50% = 6% credit</li> </ul>
4	(Total Research Salary - Base Salary (prorated by research effort))/3 *same as amount calculated for year 3 prior to credit	If average REF for last 5 years is: <ul style="list-style-type: none"> <li>• Below 40% = No credit</li> <li>• 40-49% = 3% credit</li> <li>• &gt;50% = 6% credit</li> </ul>
5	Total Research Salary - Base Salary (prorated by research effort)	N/A

**Eligible Credits for Years 3 and 4:** In years 3 and 4 the calculation of salary reduction will take into account the level of REF for the preceding 5 years. An average of the prior 5 years of REF will be calculated. If REF is between 40-49%, a 3% credit will be applied. If REF is greater than 50%, 6% credit will be applied. Thus if a 6% credit was applied, the dollar amount of the salary reduction will be lowered by 6%. Regardless of credits, a faculty member who has been in the salary reduction plan for 5 years will be decreased to base salary in 5 years.

<sup>9</sup> The School’s Policy on Faculty Appointments Not on the Tenure Track can be found at [https://central.nyumc.org/policiesprocedures/Documents/Section%2004%20-%20Faculty%20\(SOM\)/Policy%20for%20Faculty%20Appointments%20Not%20on%20the%20Tenure%20Track%20\\_October%202016\\_Final.pdf](https://central.nyumc.org/policiesprocedures/Documents/Section%2004%20-%20Faculty%20(SOM)/Policy%20for%20Faculty%20Appointments%20Not%20on%20the%20Tenure%20Track%20_October%202016_Final.pdf)

**Transition to Updated AEC Program:** For faculty members already in the salary reduction program prior to 2017, a transition to the 2018 salary reduction program will occur according to the number of years in the reduction program. Thus if a faculty member has been in the prior salary reduction program for one year, they would enter the program in year 2. If in the program for 3 or more years, they will enter in year 3.

**Reversal of Salary Reduction and Merit Increase After Reduction:** Faculty who have had a salary reduction and subsequently secure funding that places them above 30% extramural salary coverage requirement, will have the salary reduction schedule suspended. However, merit increases will not be permitted until the faculty member meets their required extramural funding level of 60% (or a higher percentage if required by a pre-existing agreement or promulgated departmental policies exist). Faculty members who have a prior history of a salary reduction and become eligible for a salary reduction at a later date will re-enter the program at the year they left off.

**Salary Adjustments for Clinical Faculty:** In order to receive a merit increase, clinical faculty must be fulfilling their clinical obligations consistent with their compensation and the expectations of their chair and the dean. If a faculty member declines without good reason to cover a clinical service at the request of his or her chair, that individual will not be eligible for a salary increase this year and may experience a decrease in future years if he or she continues to decline the request.

**Presence on Campus:** Our policy on faculty conflict of commitment, section V.B.1, states that “a full-time appointment to be a Faculty Member at NYU Langone Health conveys an obligation for a Faculty Member to have a significant physical presence (30-35 hours per week, excepting holidays, vacation, academic and professional conferences, and approved leave) at NYU Langone Health on his or her assigned campus, to be accessible to students, fellows, trainees, postdoctoral appointees, and staff, and to be available to interact with NYU and NYU Langone Health colleagues throughout every period while he or she is receiving compensation from NYU Langone Health (i.e., holds a compensated appointment and is not on leave). All faculty members who have been subject to salary reduction for two consecutive years must document their presence on campus daily with their Department. This requirement has been put into place to enable and encourage such faculty to meet their performance expectations. The School has discretion to enforce non-compliance with this requirement in a number of ways, up to and including discipline leading to termination.

**Examples:**

1. Faculty member A, rank of Associate Professor, has a research effort of 100% and has achieved <30% EF

Base salary for Associate Professor = \$110,000

Total Compensation = \$200,000.

a. **Calculation of Reduction**

**Year 1: 200,000 X 5% = \$10,000 = Individual Salary Reduction**

**Projected Salary: \$190,000**

**Year 2: 190,000 X 10% = \$19,000 = Individual Salary Reduction**

**Projected Salary: \$171,000**

Year 3

Last five years of REF: 26%, 25%, 55%, 55%, 40%

Average REF=  $26+25+55+55+40/5= 40\%$ - credit of 3%

Year 3:  $(\$171,000 - \$110,000)/3 = \$20,333 =$  Individual salary reduction prior to credits if applicable

$\$20,333 \times .97$  (3% credit applied) =  $\$19,723 =$  Individual salary reduction

**Projected salary: \$151,277**

Year 4:

Last five years REF: 25%, 55%, 55%, 40%, 5%

Average REF =  $25+55+55+40+5/5= 36$  - no credit applied

Year 4:  $\$20,333 =$  Individual salary reduction (calculated in year 3)

**Projected salary: \$130,944**

Year 5:

Research salary - base salary (prorated to effort) =  $130,944 - 110,000 = \$20,944 =$  Individual salary reduction

**Projected salary: base salary**

2. Faculty member B has a research effort of 50%, Rank of Professor, has achieved <30% EF  
Base salary for professor = \$153,000  
Total Compensation = \$300,000.

a. Calculation of Reduction

Total salary = salary allocated to research (research salary) + salary allocated to non-research activities

Calculate research salary = Total compensation X research effort

Total research salary =  $\$300,000 \times .50 = \$150,000$

Base Salary adjusted to research effort =  $\$153,000 \times .50 = \$76,500$

Year 1:  $150,000 \times 5\% = \$7,500 =$  Individual Salary Reduction =

**Projected Salary: (Research Salary - Individual Reduction) + Salary not allocated to research**

**Projected salary:  $(\$150,000 - \$7500) + \$150,000 = \$142,500 + \$150,000 = \$292,500$**

Research Salary:

50% X 292,500= \$146,250

Year 2: 146,250 X 10% = \$14,625 = Individual Salary Reduction

**Projected Salary: (\$146,250 - \$14,625)= \$131,625+146,250= 277,875**

Year 3

Last five years of REF: 45%, 50 %, 50%, 25%, 35%

Average REF= 45+50+50+25+35/5= 41%- credit of 3%

Year 3: (\$131,625 - \$76500)/3 = \$18,375 = Individual salary reduction prior to credits if applicable

\$18375 X .97 (3% credit applied) = \$17,824 = Individual salary reduction

**Projected Salary: (\$131,625 - \$17,824)= \$113,801+146,250= 260,051**

Year 4:

Last five years REF: 50%, 50%, 25%, 35%, 15%

Average REF = 50+50+25+35+15/5= 35 - no credit applied

Year 4: \$17,250 = Individual salary reduction (calculated in year 3)

**Projected salary:\$113,801- 17,250 = \$96,551+ 146,250 = \$242,801**

Year 5:

Research salary - base salary (prorated to effort) = \$96,551-76,500 = \$20051= Individual salary reduction

**Projected salary = \$76,500 + \$146,500 = \$223,000**