

**REPORT
of the
MANDATORY THIRD YEAR and SIXTH YEAR REVIEW**

INSTRUCTIONS:

Pursuant to the Revision of the Policies and Procedures for Appointment, Promotion and Tenure at the School of Medicine, a mandatory, formal review by the Departmental Appointments and Promotions Committee is scheduled in addition to that of the Chairperson in both the third year, the fourth year of service for library faculty if permanent tenure has not already been awarded, and the sixth year of service if permanent tenure has not already been awarded.

For third and sixth year reviews, the Dean will notify, in writing, the Chairperson of the appropriate Department when these two formal reviews are due as mandated by this policy. After the Departmental Appointments and Promotions Committee has reviewed the candidate's documents and sent their opinion to the Chair, the Chairperson of the Department must meet with the faculty member and review the member's progress and the chances of being promoted and/or recommended for tenure. If the likelihood of being recommended for promotion or tenure at the time of the sixth year review is considered poor, the Chairperson will so advise the faculty member and discuss the options available during the remaining three years of the probationary period.

After meeting with the faculty member at the time of the third or sixth year review, the Chairperson will notify the Dean and the faculty member in writing as to the outcome; this notification will include the names of the members of the Departmental Appointments and Promotions Committee who reviewed the candidate's credentials. Within thirty days, the Dean shall acknowledge, in writing, the receipt of the Chairperson's notification, and a copy of this acknowledgment will be sent to the candidate.

PART I.

Pages 2 through 11 for THIRD or SIXTH YEAR REVIEW, completed by FACULTY MEMBER

Please send an updated CV and Bibliography to your Department Chair prior to your meeting, and bring a copy to the meeting. Please complete Part I prior to the meeting.

PART II.

Pages 12 through 15, for THIRD YEAR REVIEW.

-OR-

Pages 16 through 18 for SIXTH YEAR REVIEW.

DEPARTMENTAL APPOINTMENTS AND PROMOTIONS COMMITTEE:

Please review materials submitted by Faculty Member in Part I, complete Part II of this Report, and submit to your Department Chair.

PART III.

Pages 19 through 21, completed by DEPARTMENT CHAIR and FACULTY MEMBER:

Please complete Part III after meeting with the Faculty Member. Upload completed form (Parts I, II, and III together), along with minutes of the DAPC meeting, specific as to comments made but anonymous as to speakers, to The Faculty Affairs Management Tool.

Part I. for Third and Sixth Year Reviews

(Faculty Member completes this portion for Department Chair and Departmental Appointments and Promotions Committee (DAPC) before meeting with the Department Chair.)

Name (please print) _____
(LAST) (First) (M.I.)

Date completed: _____

Department: _____

Division: _____

Center or Institute, if applicable: _____

ACADEMIC TRACK:

Investigator / Educator Track	<input type="checkbox"/>	Investigator Clinician / Educator Track	<input type="checkbox"/>
Clinician Investigator / Educator Track	<input type="checkbox"/>	Research / Educator Track	<input type="checkbox"/>
Clinical Track	<input type="checkbox"/>	Research Track	<input type="checkbox"/>
Curator	<input type="checkbox"/>		

Do you wish to change tracks at this time? If so, to what: _____

TIME ALLOCATION (where 100% is the total time devoted to School of Medicine activities):

_____ % Research _____ % Patient Care _____ % Teaching/Training

_____ % Administrative/Other Service _____ % Other (specify) _____

On which of the above activities would you like to spend MORE time?

Research Patient Care Teaching/Training
Administrative/Other Service Other

On which of the above activities would you like to spend LESS time?

Research Patient Care Teaching/Training
Administrative/Other Service Other

PROFESSIONAL GOALS

Please give a brief description of your professional goals for the next three years

RESEARCH (Part One)

Please list or attach **past awards** in chronological order:

1) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

2) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

3) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

4) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

5) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

6) FUNDING SOURCE _____
TITLE OF GRANT _____

—
ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
WERE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

RESEARCH (Part Two)

Brief description of your current research _____

Please list **current awards**:

1) FUNDING SOURCE _____
TITLE OF GRANT _____

—
ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

2) FUNDING SOURCE _____
TITLE OF GRANT _____

—
ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

3) FUNDING SOURCE _____
TITLE OF GRANT _____

—

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

4) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

5) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

6) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

RESEARCH (Part Three)

Please list ***pending awards***:

1) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

2) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

3) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

4) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

5) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

6) FUNDING SOURCE _____
TITLE OF GRANT _____

ANNUAL DIRECT SUPPORT \$\$\$ _____
INCLUSIVE DATES _____
ARE YOU PRINCIPAL INVESTIGATOR (PI) or CO-INVESTIGATOR (CI) _____

TEACHING RESPONSIBILITIES

(1)

Pre-Medical Students [] Medical Students [] Graduate Students [] CME []
Residents [] Clinical Fellows [] Post-Doctoral Fellows [] Other []

Course name or activity _____

Describe teaching role:

Course Director [] Developer [] Participant [] Lecturer []
Conference Leader [] Attending [] Research Mentor []

Other (specify) _____

(2)

Pre-Medical Students [] Medical Students [] Graduate Students [] CME []
Residents [] Clinical Fellows [] Post-Doctoral Fellows [] Other []

Course name or activity _____

Describe teaching role:

Course Director [] Developer [] Participant [] Lecturer []
Conference Leader [] Attending [] Research Mentor []

Other (specify) _____

(3)

Pre-Medical Students [] Medical Students [] Graduate Students [] CME []
Residents [] Clinical Fellows [] Post-Doctoral Fellows [] Other []

Course name or activity _____

Describe teaching role:

Course Director [] Developer [] Participant [] Lecturer []
Conference Leader [] Attending [] Research Mentor []

Other (specify) _____

(4)

Pre-Medical Students [] Medical Students [] Graduate Students [] CME []
Residents [] Clinical Fellows [] Post-Doctoral Fellows [] Other []

Course name or activity _____

Describe teaching role:

Course Director [] Developer [] Participant [] Lecturer []
Conference Leader [] Attending [] Research Mentor []

Other (specify) _____

Indicate the number of hours you devote annually to the following. List contact, not preparation, hours only:

Lectures _____ Conferences _____ Labs _____ Rounds _____

Other (specify) _____

Teaching awards in the last three years _____

—

Your comments regarding your academic/teaching responsibilities _____

—

SERVICE TO THE SCHOOL OF MEDICINE

Please describe your contributions in the area of service to the NYU School of Medicine and its Affiliated Hospitals in the past three years. (For example: Library Committee; Medical Board, Tisch Hospital; Curriculum Committee)

SERVICE TO THE DIVISION, DEPARTMENT, OR LAB

Please describe your contributions in the area of service to your division, department, or lab in the past three years

SERVICE TO EXTERNAL ORGANIZATIONS; HONORS; AWARDS

Please describe your contributions to external organizations and all honors or awards earned in the past three years

YOUR GOALS FOR THE MEETING WITH YOUR DEPARTMENT CHAIR: (e.g., “to obtain feedback as to my progress and chances for promotion;” “to obtain additional protected time for research;” “to discuss a possible change of track.”)

1 _____

2 _____

3 _____

4 _____

Signature, Faculty Member

Part II (THIRD YEAR REVIEW)

(Departmental Appointments and Promotions Committee
completes this portion of the report and forwards to the Department Chair.)

The purpose of the Third Year Review by the DAPC and Chair is to evaluate the development of faculty in terms of establishing a productive career, beginning to establish a role in the Department and Medical School and developing a significant role in the Departmental or School teaching. **Progress in all these areas should be expected for a positive indication of adequate progress towards promotion and/or tenure.**

CURRENT ALLOCATION OF TIME. Is it:

- Appropriate.
- Needs to be adjusted.
- Com-

ment _____

—

QUALITY, QUANTITY AND VISIBILITY OF PEER REVIEWED PUBLICATIONS.

- Sufficient.
- Needs to be improved.
- Com-

ment _____

—

FUNDING. Is it:

- Sufficient for the present stage of development.
- Poised for long-term stability.
- Neither, and needs to be addressed.
- Not applicable.
- Com-

ment _____

—

INDEPENDENCE OF RESEARCH OR CLINICAL ACTIVITY.

- Has the work progressed beyond the postdoctoral or fellowship level? Yes [] No []
- Are new areas of research or clinical activity being considered or developed? Yes [] No []
- Com-

ment _____

—

NATIONAL VISIBILITY AND EXPOSURE THROUGH PRESENTATIONS AT:

- National meetings: Sufficient [] Needs to be improved []
- Invited Seminars at scholarly institutions: Sufficient [] Needs to be improved []
- Not applicable.
- Com-

ment _____

—

ARE TEACHING ACTIVITIES:

Sufficient.

Of adequate quality.

In need of improvement.

Com-

ment _____

-

GENERAL COMMENTS:

IN THE FIRST THREE YEARS, HAS THE FACULTY MEMBER DEVELOPED:

Well, in all respects.

Well, but with some areas of concern. If so, what are these concerns?

Com-

ment _____

—

MENTORING:

Is it adequate?

Does it need to be improved?

What areas of mentoring need to be concentrated on?

Com-

ment _____

—

OVERALL EVALUATION. Please feel free to attach additional page(s) for any further comments you wish to make.

Signature, DAPC Chair or Representative

Part II (SIXTH YEAR REVIEW)

*(Departmental Appointments and Promotions Committee
completes this portion of the report and forwards to the Department Chair.)*

The purpose of the Sixth Year Review by the DAPC and Chair is to determine whether the faculty member has continued to develop in the goals set by the third year review and to establish whether the present development will lead to a positive recommendation for promotion and/or tenure in two year's time at the latest. It is expected that by the sixth year, the faculty member should, as applicable, be (a) running a well and stably funded laboratory, or have developed a significant and independent clinical activity, (b) have significant committee and administrative responsibility both within the Department and in the Medical School, and (c) have a significant impact on teaching.

CURRENT ALLOCATION OF TIME. Is it:

- Appropriate.
- Needs to be adjusted.
- Com-

ment _____

—

QUALITY, QUANTITY AND VISIBILITY OF PEER REVIEWED PUBLICATIONS.

- Sufficient.
- Needs to be improved.
- Com-

ment _____

—

FUNDING. Is it:

- Adequate.
- Poised for long-term stability.
- Needs to be addressed.
- Not applicable.
- Com-

ment _____

—

NATIONAL VISIBILITY AND EXPOSURE THROUGH PRESENTATIONS AT:

- National meetings: Sufficient [] Needs to be improved []
- Invited Seminars at scholarly institutions: Sufficient [] Needs to be improved []
- Not applicable.
- Com-

ment _____

—

ARE TEACHING ACTIVITIES:

- Sufficient.
- Of adequate quality.
- Need to be changed.

Com-
ment _____

-

GENERAL COMMENTS:

IN THE LAST SIX YEARS, HAS THE FACULTY MEMBER IN GENERAL DEVELOPED:
Well, in all areas.
Well, but with some areas of concern. If so, what are these concerns?
Com-

ment _____

-

DO YOU RECOMMEND PROMOTION TO ASSOCIATE PROFESSOR WITHOUT TENURE NOW?

Yes [] No [] Record vote: Yes ____ No ____

DO YOU RECOMMEND EARLY PROMOTION (that is, before the end of the 9-year probationary period) TO TENURE NOW?

Yes [] No [] Record vote: Yes ____ No ____

DO YOU THINK, GIVEN THE PRESENT PROGRESS, RECOMMENDATION FOR TENURE IN TWO YEARS WILL BE:

- Likely.
- Possible.
- Unlikely.

DO YOU RECOMMEND CONTINUATION ON THE TENURE TRACK?

Yes [] No []

OVERALL EVALUATION. Please feel free to attach additional page(s) for any further comments you wish to make.

Signature, DAPC Chair or Representative

Part III

*(To be completed jointly by Chair or Division Chief and Faculty Member.
Please feel free to attach narratives rather than use the form.)*

Please make note of any portion of Part II with which you disagree_____

Has the faculty member met goals set in previous career planning conferences? Yes [] No [] N/A []

Comments _____

After discussion with the faculty member, the chair or division chief must set goals for the following period.
Briefly describe those goals:

With respect to the current track, I understand that future promotion will likely require:

- Continued progress on same trajectory [],
- OR-
- Improved performance [], specifically _____

- OR-
- Change in focus or emphasis [], specifically _____

Comments (please feel free to attach additional sheet(s) if necessary)_____

Signature, Department Chair

Signature, Division Chief

Signature, Faculty Member

Please upload entire report and minutes of the Departmental Appointments & Promotions Committee meeting, specific as to comments made but anonymous as to speakers, to The Faculty Affairs Management Tool.