Rules and Regulations Providing for System of Appointments, Titles, and Compensation Agreements Policy

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I. Purpose

The furtherance of the academic mission of Albert Einstein College of Medicine (“Einstein” or “College of Medicine”) requires a commitment from faculty, academic departments, and academic affiliated institutions. This document details the College of Medicine’s policies governing academic appointment, promotion and tenure. It serves as a resource for appointment policies and procedures serving the academic community.

II. Scope

The policies hereinafter set forth shall apply to present members of the faculty of Einstein and to all appointments hereinafter made. These appointment policies apply to all faculty at all ranks, at both Einstein or any of its affiliated institutions.

III. Policy

III.A. Faculty Rank

III.A.1. Junior Academic Rank

Junior Academic Rank is defined as:

- Instructor of…
- Associate of…
- Assistant Professor of…
- Research Assistant Professor of…
- Principal Associate of…

Appointments to these ranks are determined by each academic department based on an evaluation of the education, research, teaching (both basic and clinical), and the nature and duration of post-doctoral training. Recommendations from Department Chairs for appointment or promotion to these ranks are reviewed by the Office of the Dean.

III.A.2. Senior Academic Rank

Senior Academic Rank is defined as:

- Associate Professor of…
- Research Associate Professor of…
- Senior Associate of…
- Professor of…
- Research Professor of…

Appointments to these ranks are determined based on the recommendations of the Departmental Promotions Committee and the Department Chair. These departmental level recommendations are then reviewed for by the Einstein Committee on Appointments and Promotions (CAP).
According to the Faculty Senate bylaws: “The Committee on Appointments and Promotions, consisting entirely of full professors and associate professors, shall evaluate recommendations for appointments and promotions of professors and associate professors made by subcommittees appointed by the parent committee. The Committee on Appointments and Promotions shall work directly with the Executive Dean and make recommendations to the Dean.”

III.B. Academic Status

All members of the faculty, predicated upon the nature and extent of the engagement, shall be classified as having one of the following status:

- **Full-Time**: Full-time status shall be conferred upon and limited to members of the faculty whose professional activity is full-time service to the College of Medicine and/or its affiliated hospitals through clinical teaching, patient care, research and/or administration; who participate significantly in the academic programs of Einstein in the realm of teaching and/or research; and whose professional income is derived solely from the Einstein or its affiliated hospitals. This may include faculty members whose professional fees from sources approved in advance are turned over to Einstein or their medical center site of employment in accordance with the rules and regulations prescribed by Einstein from time to time. Faculty members in Full-Time status whose professional activities are not limited to Einstein and its affiliated hospitals, or whose professional income is not solely derived from Einstein or its affiliated hospitals, or who fail to turn over professional fees from approved sources as herein provided, shall be deemed to have waived such Full-Time status and shall be placed in another status as shall be deemed appropriate by the Dean of Einstein.

- **Part-Time or Voluntary**: Part-Time or Voluntary Status shall be conferred upon those members of the faculty who serve Einstein and its affiliated hospitals by participating in the academic programs, especially the teaching of medical students, while carrying on their private professional practice or other employment.

- **Visiting**: The prefix ‘Visiting’ may be added to any rank. A visiting designation may be granted to individuals who hold a faculty appointment at another medical school and who are visiting here at Einstein for some brief, defined period of time, not to exceed one year. Renewal of a visiting appointment beyond the one-year period may be requested under special circumstances for junior ranks. Renewal of a visiting appointment in the senior ranks is subject to review and approval by the CAP.

- **Adjunct**: The prefix ‘Adjunct’ may be added to any rank. An adjunct designation may be granted to individuals with a faculty appointment at another medical school, who by virtue of their teaching and/or research activities, also fulfill the criteria for appointment to the Einstein faculty. Their length of appointment will parallel the appointment and reappointment process of the faculty.
III.C. Academic Track

III.C.1. Tenure Tracks

III.C.1(a) Investigator Track

Appointment to the Investigator Track is reserved for faculty members in the basic sciences or clinical sciences and for clinicians who demonstrate a career commitment to scholarly pursuit and have documentation of their endeavors by way of significant publication, grant support, peer recognition for of outstanding research, national recognition and international recognition. As supplementary support for promotion in this track, clinicians may demonstrate peer recognition as an outstanding physician, direction of a service, teaching courses, making rounds, being a preceptor, being a lab mentor, and being a conference leader. A faculty member is expected to devote a minimum of 75% of his or her time doing laboratory, clinical or population-based research.

III.C.1(b) Physician Investigator Track

The Investigator Track is a non-tenure track reserved for clinician members of the Einstein faculty who in addition to maintaining the highest quality of clinical practice or supervision of a clinical service will be spending a minimum of 60-70% of his or her time devoted to laboratory, clinical or population-based research. The candidates’ total academic output (peer reviewed papers and grants) is expected to be somewhat less (e.g. 65%) than candidates in basic science departments due to their major clinical responsibilities. As supplementary support for promotion in this track, clinicians may demonstrate peer recognition as an outstanding physician; direction of service; teaching courses, rounds, preceptor, lab mentor and/or conference leader.

The candidate is a respected clinician and teacher, with numerous medical student and house staff contacts in rounds and courses. In addition to their major efforts related lab based, clinical or epidemiologic research, their major current work is in running an innovative clinical service where pioneering diagnostic and treatment procedures have been undertaken. They are known widely for the creation of their service which has been emulated elsewhere, and they have served as a consultant to these new services. The service has a research arm which has produced both basic and clinical research contributions.

While tangible distinction should be demonstrated in at least one aspect of academic activity in which the individual is engaged, it is generally expected that the individual’s contributions to the tasks of Einstein (education, research, clinical service, and administration) will have considerable breadth; and in all aspects of academic activity, the individual must meet the standards of Einstein. "Citizenship" i.e., service to the school or its affiliated institutions, will also be considered relevant for promotion to senior rank.

The candidate has demonstrated basic, epidemiological or clinical research contributions that are widely known and are original and ground breaking; has published extensively in refereed journals of high caliber, presented their work at national meetings, and been active in professional organizations as officer and committee member.

No precise distinction exists in the criteria for appointment or promotion to the rank of Associate Professor or Professor. Having achieved the rank of Associate Professor, it is expected that the same
level of high quality scholarly productivity, research and/or clinical accomplishments, teaching activity, and ‘good citizenship’ will have continued to warrant promotion to Professor. The Committee on Appointments and Promotions (CAP) often looks for national involvement and recognition for the rank of Associate Professor and international recognition for the rank of Professor.

Recommendation to the Investigator or Physician Investigator Track is made to the senior ranks of Professor and Associate Professor.

One can be appointed as an Instructor or Assistant Professor on this track at the discretion of the Chair or be eligible for appointment or promotion to senior rank, if approved by the Committee on Appointments and Promotions (CAP).

Promotion to full professor on a tenure track will be considered for candidates who have had greater than 50% salary coverage through external grants for at least three (3) consecutive years prior to promotion. Please reference the Tenure and Compensation Policy, DEAN-POL-2018-006.

III.C.2. Non-Tenure Tracks

III.C.2(a) Clinician Educator Track

Appointment in the Clinician Educator Track is reserved for faculty who show recognition of excellence in the candidate’s area of expertise as a clinician and/or educator. Clinicians may demonstrate peer recognition as an outstanding physician, direction of a service, teaching courses, performing rounds, being a preceptor, being a lab mentor, and being a conference leader.

This may be documented by lectures outside the institution, teaching awards for services as a course leader or program director, as well as student evaluation. There shall be recognition of excellence in the candidate’s area of endeavor, as documented by peers from within and outside the institution as well as recognition of excellence in teaching on the part of the candidate. There shall be evidence of significant ongoing service to Einstein and the medical profession, by serving on school and/or hospital committees and membership/office in local, state, and national professional organizations. Participation in clinical or educational research protocols and other evidence of scholarly activity by authoring or co-authoring scientific or educational communications are highly desirable. As a scholarly position, promotion in this track requires some original scholarly activity as evidenced by publications.

Recommendation to the Clinician Educator Track is made to the senior ranks of Professor and Associate Professor.

One can be appointed as an Instructor or Assistant Professor on this track at the discretion of the Chair or be eligible for appointment or promotion to senior rank if approved by the Committee on Appointments and Promotions (CAP).

An individual promoted to senior rank in the Clinician Educator track can switch to the Investigator track if he or she fulfills the requirement of that track. Such a switch requires approval by the promotions committee.
III.C.2(b) Research Professor Track

The Research Professor Track is a non-tenure track reserved for members of the Einstein faculty with a Ph.D. or M.D. and who play an important supportive role in the genesis, conduct, and reporting of research findings. The Research Professor is considered an essential member of the team carrying out the research. Appointment in the Research Professor Track is reserved for faculty who show an ongoing commitment to basic, preclinical, epidemiological, statistical, or clinical research in a supportive or fundamental role and may be a principal investigator (PI), co-PI, co-Investigator, or key personnel on funded grants. There shall be contribution to the development and writing of research proposals; may be administrative or ‘hands-on’ responsibilities for major research core facilities; or organization of essential research service, laboratory testing protocol, or a field site in a clinical research program. There shall be co-authorship on peer-reviewed, hypothesis-driven publications, predominantly as other than first or senior author, or as first author on peer-reviewed publications, participation on writing committees of collaborative multicenter studies, evidence of authorship on other scholarly research papers such as report of baseline study design or brief research reports, book chapters, reviews, and other non-peer reviewed reports. The individual on this track may apply for grants but will continue to work under the guidance of his or her principal investigator. Success in obtaining grants does not automatically set into motion a granting of independent principal investigator status.

There shall be local and national recognition as an invited speaker at rounds or research seminars as well as evidence of participation as a course leader, preceptor, and conference contributor for research-focused programs or courses, or co- and supportive role as research mentor of fellows, post-docs or students.

Recommendation to the Research Professor Track is made to the ranks of Professor, Associate Professor, Assistant Professor, and Instructor.

One can be appointed as an Instructor or Research Assistant Professor on this track at the discretion of the Chair or be eligible for appointment or promotion to senior rank, if approved by the Committee on Appointments and Promotions (CAP).

III.C.2(c) Associate Track

The Associate Track is a non-tenure track reserved for members of the Einstein faculty who possess a Master’s degree, but generally do not possess a doctoral degree or its equivalent. Individuals who serve Einstein primarily in the areas of teaching or research may be considered for appointment in the Associate Track. The Associate faculty member plays an important supportive role in the genesis, conduct and reporting of research findings.

Recommendation to the Associate Track is made to the ranks of Senior Associate, Principal Associate and Associate.

One can be appointed as an Associate (comparable to an Instructor) or Principal Associate (comparable to an Assistant Professor) on this track at the discretion of the Chair. Appointment or promotion to Senior Associate (comparable to Associate Professor) requires recommendation by the Chair and is subject to the review and approval by the Committee on Appointments and Promotions (CAP).
III.D. Terms of Appointment

Members of the faculty having the rank indicated below, shall serve for the period designated, subject to the availability of salary support and applicable Einstein policies:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Term of Appointment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>Indefinite Duration</td>
</tr>
<tr>
<td>Associate Professor Full Time Status</td>
<td>Indefinite Duration</td>
</tr>
<tr>
<td>Associate Professor Part Time or Voluntary Status</td>
<td>5 Years</td>
</tr>
<tr>
<td>Senior Associate Full Time Status</td>
<td>Indefinite Duration</td>
</tr>
<tr>
<td>Senior Associate Part Time or Voluntary Status</td>
<td>5 Years</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>2 Years</td>
</tr>
<tr>
<td>Principal Associate</td>
<td>2 Years</td>
</tr>
<tr>
<td>Instructor</td>
<td>1 Year</td>
</tr>
<tr>
<td>Associate</td>
<td>1 Year</td>
</tr>
</tbody>
</table>

All appointments to the faculty, whether those with an indefinite nature or those having a specific term of appointment, are subject to specific interval reviews by the Department Chair to ensure that the Faculty Appointment Criteria, as established by Einstein, as well as each department, are met. Appointment to a rank with indefinite duration requires that faculty in those position continue to meet all the criteria for faculty appointment.

There shall be no limit to the number of reappointments to any rank.

An appointment with a specific term of duration shall be for a period of not more than five years which, except as otherwise provided for herein, shall automatically expire at the end of that period unless terminated earlier as provided herein.

III.E. Appointment Year

Unless the terms of appointment otherwise provide, the regular appointment year for members of the faculty of Einstein shall be from July 1st through June 30th.

III.F. Tenure

Members of the Einstein faculty shall attain tenured status with promotion to the rank of Professor on the Investigator Track and the Physician Investigator Track. Tenure is awarded only on the recommendation from the Department Chair and appropriate department appointment and promotion committee and the approval of the medical school Committee on Appointments and Promotions. The Dean may or may not accept such recommendation.

For complete policy guidelines, please refer to the Tenure and Compensation Policy, DEAN-POL-2018-006.
III.G. Compensation

Compensation for faculty members on the Einstein payroll shall be subject to the Salary Coverage Policy, DEAN-POL-2018-002.

Compensation for faculty members in Part-Time or Voluntary status shall be unrestricted except as the same may be limited from time to time by the rules of any faculty member’s employing institution.

Faculty on the payroll of an affiliated institution are subject to their specific institutional policies.

III.H. Termination of Service for Einstein-Employed Faculty

All appointments to faculty status for Einstein employees are for terms specified in each rank and category. Faculty appointment is independent of employment status. In the event of employment termination at Einstein, the default is the termination of faculty appointment, unless the faculty member can demonstrate that he/she can continue to meet all criteria for continued faculty appointment on a voluntary basis. In the case of retirement, emeritus or emerita status can be recommended by the departmental chair.

In cases where it is determined that an appointment is to be terminated, written notice shall be given to holders of such appointments in advance of the termination of appointment as follows:

- In the first year of service, at least three months in advance of termination
- In the second year of service, at least six months in advance of termination
- After two or more years of service, at least twelve months in advance of termination

In the event of cessation of financial support for specific programs, or of financial exigency, faculty members with appointments of an indefinite duration may be terminated by the Dean of Einstein, subject to the notice requirements contained herein.

Termination for cause shall follow the procedures set forth below. Faculty with tenure shall be deemed to having a continuing appointment which shall continue until retirement or until terminated in accordance with the provisions set forth in the Einstein Tenure and Compensation Policy.

The services of members of the Einstein faculty may be terminated at any time for cause related to the fitness of the faculty member in his/her professional capacity and which, without limitation of the foregoing may include neglect of duties, misconduct, physical or mental disability, after notice and opportunity to be heard. In the event of termination for physical or mental disability of full-time members of the faculty, salary shall continue until the effective date of the disability payments or retirement but in no event for a period in excess of twenty-four (24) months from the date of such termination as per the Einstein Human Resource policies.

When the Dean has information or receives a complaint against a member of the faculty containing allegations which, if true, might serve as grounds for dismissal for cause, and it is deemed that such information or complaint to be substantial, the Dean may discuss such complaint with the person concerned and shall make such further investigation as he/she deem appropriate. Should the Dean
determine that charges or further investigation is deemed appropriate, the Dean shall cause to be served upon the faculty member concerned a written statement of charges.

Faculty members accused of violence, or physical or psychologic harassment, may be immediately removed from campus until final determinations are complete. For other categories of allegations, action may be taken by the Dean as appropriate. Upon such notice to the faculty member charged, he/she may make a written request to the Dean for a hearing. At the option of the faculty member charged such hearing shall be held before the Faculty Review Committee of the Einstein Senate. Such option shall be exercised in a written request to the Dean for a hearing. In the event that no such request be made, the Dean shall designate either of the aforementioned review committee to act as a Hearing committee. The Hearing Committee shall be limited to three (3) in number. Should such a request for a hearing not be made, the Dean shall determine if a hearing should be held.

The Dean or his designee, or other, may be present at the Hearing committee as an auditor; but shall not be present at, or participate in, the deliberations or decisions of the Hearing Committee. The Hearing Committee, in consultation with the Dean and the faculty member, will exercise its judgment as to whether the hearing should be public or private. The Hearing Committee will not be bound by strict rules of legal evidence and is permitted to meet for its purposes without the accused faculty member present. The Hearing Committee may admit any evidence which is of probative value in determining the issues involved. Every effort shall be made to obtain the most reliable evidence available. The findings of fact and the decision will be based solely on the hearing record. The burden of proof shall rest upon those bringing the charges. A record shall be taken of such hearing. Upon completion of the hearing, the Hearing Committee shall render a written statement of its findings with respect to the charges and shall render a written recommendation to the Dean of Einstein. The Hearing Committee shall also submit to the faculty member a transcript of the proceedings, the statement of its findings, and its recommendations. Where no hearing was requested or held, the Dean shall review the charges and make such investigation of the matter as he/she deems appropriate and will make the decision whether to dismiss the person concerned or to impose other penalty and must transmit such decision to the person charged and to the Board of Trustees.

A person against whom written charges have been made may be suspended from his/her duties by the Dean, with salary, pending final action upon such charges, in such instances where continuance of the faculty member in his duties threatens immediate harm to him/herself or others or may cause irreparable damage to Einstein.

III.I. Termination of Service for Non-Einstein-Employed Faculty

Faculty appointment is independent of employment status. In the event of employment termination at Einstein or one of its clinical affiliates, the default is the termination of faculty appointment, unless the faculty member can demonstrate that he/she can continue to meet all criteria for continued faculty appointment on a voluntary basis. In the case of retirement, emeritus or emerita status can be recommended by the departmental chair.

Where a non-salaried faculty member no longer meets the academic and teaching criteria as set forth by the academic department, the term of appointment will end and no further notice of termination of academic appointment shall be necessary.
In the event of termination by an affiliated institution for cause, the College of Medicine will automatically terminate the member’s academic appointment and no further notice of termination shall be necessary.

IV. Definitions

None.

V. Effective Date

Effective as of: 27 July 2018

VI. Policy Management and Responsibilities

The Responsible Office under this policy is the Office of the Dean. The Responsible Executive and the Responsible Officer under this policy are Einstein’s Dean.

VII. Approved (or Revised)

[Signature]

Responsible Executive

Date: 8/13/18