

**STONY BROOK UNIVERSITY HOSPITAL  
GRADUATE MEDICAL EDUCATION  
POLICIES AND PROCEDURES**

**POLICY: SUBSTANDARD RESIDENT PERFORMANCE**

**Purpose**

To establish a policy for substandard resident performance

**Policy**

1. Residents identified as not meeting the standards of training performance through mechanisms outlined in the Resident Evaluation and Promotion Policy and Procedure may be at risk for the following actions,
  - a. Written warning/ letter of counseling
  - b. Probation
  - c. Suspension
  - d. Termination

A decision to terminate a resident is subject to the due process procedure as outlined. A decision to provide a warning to the resident or place a resident on probation is not subject to the due process procedure.

2. The GMEC recognizes the following categories pertaining to substandard trainee performance,
  - a. Professional misconduct
    - i. Insufficient interest and/or participation in the required rounds and conferences
    - ii. Attendance-related infractions including excessive absenteeism or tardiness
    - iii. Failure to meet medical documentation requirements
    - iv. Failure to participate in credentialing processes
    - v. Difficulties in functioning as a cooperative team member
    - vi. Recurrent complaints by patients and/or hospital/clinic staff as reflected by letters or evaluation forms
    - vii. Any misconduct defined as “professional misconduct” under NY education Law 8, 6530
  - b. Academic deficiencies
    - i. Failing performances in at least two (2) of the following
      1. Rotation evaluation forms
      2. Quizzes
      3. Board exams
      4. Composite evaluation forms
      5. In training examinations
    - ii. Chronic marginality
    - iii. Lack of interest in the educational process
3. Residents identified as not meeting the standards of the training program or of the profession will receive written notice communicated by the program director. A warning letter serves as an alert that academic and/or professional performance are in need of remediation. Such notice will include,

- a. Specific reference to area(s) of deficiency
  - b. Suggestions for improvement and time frame
  - c. Mechanism of evaluation
  - d. Consequences of unfulfilled/ unsatisfactory improvement (i.e. probation) which may adversely affect promotion, graduation credentialing and licensure
  - e. Acknowledgement of receipt by resident attestation and signature
4. Residents who have received a warning letter and have not demonstrated substantial improvement as previously outlined and communicated or incur repeat offenses shall be placed on academic or professional probation. Such notice will include and provide:
- a. Deficiencies that the individual has been counseled for and that no improvement has been made
  - b. Explicit remediation plan with time frame not to exceed three (3) months
  - c. A faculty advisor/educator to assist with successful completion of the remediation plan
  - d. A mechanism of evaluation, which may included but is not limited to:
    - i. 360 degree assessment
    - ii. Global assessment
    - iii. Mini-CEX
    - iv. Direct Observation
    - v. Patient simulations
  - e. Consequences of unsatisfactory improvement which may include termination
  - f. Acknowledgement of receipt by resident attestation and signature
  - g. This letter will become part of the permanent summative evaluation and may be part of any verification request including but not limited to licensure, hospital privileges or medical staff appointment.
5. The chair of the GMEC will be notified, in writing, of all residents placed on probation.
6. Residents who have not made satisfactory progress despite the above measures may be subject to non-promotion to the next level, non-renewal of appointment or termination under the due process procedure.
7. In the event that the resident's actions or performance are determined by the Department Chairperson to be of a nature such that it represents an imminent threat to patient care, the Department Chairperson may suspend the resident from patient care activities for a period not to exceed three weeks. The resident will be notified immediately in writing of such action and the reason for such action. Any disciplinary action resulting in suspension or termination is subject to the due process procedures.
8. The permanent record of the substandard performance will include all summative evaluations for each educational year, any letter of probation or non-renewal/termination and the final summary evaluation at the completion of residency all acknowledged and signed by the program director and resident. See "Termination, Grievance and Due Process Policy"

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