

## **CRITERIA AND PROCESSES FOR DISCIPLINE, REMEDIATION, AND DISMISSAL OF RESIDENTS**

It is the policy of the Department of Urology that due process be afforded to all residents in manners of performance of their duties and in the residency training program. As such, as noted above, the evaluation of residents is a day-to-day ongoing effort. It is anticipated that improvements in technical skills, cognitive, and interpersonal skills will continue to improve through the training program and that faculty are integral factors in that improvement process.

### **Definitions:**

**Regular Status** – This indicates that the resident may continue to participate in the curriculum and rotations as scheduled. Scrutiny of performance will be through regularly scheduled evaluations though there may be specific AOC's that need to be addressed. It is assumed that the resident is on regular status unless specifically changed by the CCC.

**Area of Concern (AoC)** – An area of performance identified by faculty or other evaluators that is lagging behind the expected measures for level of training. It can be in any of the major core competencies or a specific skill set that needs more attention. These are generally identified through evaluations and enumerated at the CCC meetings. The AoC may also be identified and articulated by a site director or the program director (PD).

**Administrative Status (AS)** – This status assigned by the PD or CCC indicates that the resident has significant AoC's that require closer monitoring in order to assure that he/she is meeting the educational and performance goals of the program. As such, a time frame for improvement will be set. The site director for the resident's rotations during that time frame will be advised to provide constructive feedback and thoroughly evaluate the resident's performance with whatever tools he/she deems necessary. A report to the Program Director will be made monthly during the rotations within the time frame. Rotation schedules may be changed and resident participation in clinical activities may be modified as necessary to allow for the resident to resolve the issues.

**Probationary Status (PS)** – This status assigned by the CCC indicates that one or more AoC has not been adequately addressed during a period of AS. The PS will be accompanied by a statement of time frame for resolution and a specific set of clearly defined objectives as described in the UTHSCSA GME handbook. Failure to achieve a resolution of the PS will result in dismissal from the program.

**Informal Counseling** - Should issues arise regarding resident performance, a stepwise process begins with the goal of creating a remedy for the problem. Should steps be undertaken to remedy problems that are identified for an individual resident, extensive documentation is prepared. At each step, the resident shall be provided a copy of this documentation and shall sign a copy for his or her files. The first step, upon recognition of failures of a resident to meet the training or performance standards of the program (**Area of Concern, AoC**), is for immediate faculty feedback. This may take the form of

an on-the-spot correction or a private conference. Should problems persist, the faculty member may repeat counseling and report the deficiency to the Site Supervisor, who may further counsel the resident.

**Formal Counseling** - Should it be determined that the informal counseling is ineffective, the following step is a formal meeting with the Program Director who will determine the need for any further action or remediation. If necessary, a formal action plan will be developed with specific goals to be met over a specific time frame and including a defined evaluation process that must be completed. The time frame for this action/remediation plan will be short (<30 days). The formal counseling session must be documented, acknowledged (signed) by the Resident and kept in the administrative file.

**Administrative Status** - If the formal counseling does not produce the desired result, the Program Director will then convene a meeting of the CCC - if it is judged that the problem cannot wait until the regular CCC meeting. If necessary, the formal plan of action or remediation previously developed may be modified and presented to the resident. During this time the resident will be considered on Administrative Status. The period of administrative status will be determined by the CCC but should not exceed 3 months. During that time, frequent evaluations must be prepared to document progress or lack thereof.

**Probation** - If after the administrative status period expires, the resident has not completed the requirements a formal request for **Probation Status (PS)** will be sent to the GMEC. This request is submitted to the GME Committee of UTHSCSA and includes: a detailed summary of the problems with the resident that led to the request; the recommended remedy; a period of time for probation (generally not to exceed 90 days); and a metric to be used to determine if the resident has achieved an adequate improvement in performance. Texas statutes require that the department file a report with the TMB regarding any resident with a Physician-In-Training (PIT) license/permit who is placed on probationary status. Generally, at the time of a request for probation, the resident will be assigned a faculty mentor to assist him or her in the efforts to achieve a satisfactory performance. The faculty mentor cannot be the Residency Program Director. At the conclusion of the probationary period, if sufficient progress has been made, the resident will be returned to normal active status. It should be extremely rare that a second period of probation is requested after a first period but a request for extension can be made under extenuating circumstances and only upon approval of the UTHSCSA GME Committee. Should a resident be found to have not progressed sufficiently during the probationary period, a request for dismissal may be referred to the GME Committee. All teaching faculty members of the Department of Urology will participate in each step of this process.

The UTHSCSA GME Department has outlined overarching policies that guide all departmental rules regarding promotion, dismissal and grievance procedures. These can be found at the GME web site: <http://uthscsa.edu/gme/gmepolicies.asp>