

## MESSAGE FROM THE VICE DEAN



Imran Ali, M.D.

Dear Medical Students

I hope you are all doing well. I wanted to reach out to you and let you know that we have been paying close attention to your issues and concerns. I have been meeting with the MSC leadership regularly, we have informal monthly Vice Deans meetings as well as Dr. Laukka has been holding regular town hall meetings for the preclerkship

students. I look forward to continuing our regular dialogue and providing support to all the medical students.

We have identified some areas of focus going forward and will be paying extra attention to these; academic and career advising, student support services and the curriculum are the ones we are constantly striving to enhance. The Office of Student Affairs is also meeting regularly with the student representatives to maintain open communications.

We have and are planning to hire additional faculty for the teaching component of the UT COM mission. Dr. Menon is a new Physiology/Pharmacology faculty member who will be participating in the curriculum going forward. We have also recruited Dr. Lori Deshetler as the new Assistant Dean for Assessment and Accreditation, who will begin a systematic review of the entire four year curriculum.

To further enhance our curriculum, we have a new software system called MedHub that will allow seamless transition from preclerkship to clerkship with ability to maintain student assessments and relevant records across the four years. Our academic computing staff John Cavins and James Jagodzinski have done an amazing job with our homegrown system but it now needs to be incorporated into this new system. The transition to this new system is summer of 2018. Wish us luck!

As always my office and our doors in Department of Medical Education (and Office of Student Affairs) are always open for you all.

## PROFESSIONALISM AND ETHICAL BEHAVIOR

The UT COM has established standards of professionalism and ethical behavior that are clearly enunciated in policy attached. The faculty, residents, staff and students are expected to conduct themselves in a manner becoming of our profession. Policies relevant to faculty and students are attached for your review, they intentionally mirror the expectations placed on all of us as professionals providing health care.

I would ask you to take a moment to review the policy *AND familiarize yourself with key important concepts of professionalism standards.*

The UT COM and our office has established a reporting dashboard (can be anonymous) that is available for students to identify exemplars as well as examples of unprofessional conduct. Based on the feedback we receive, actions are taken consistent with the seriousness of the event and based on relevant university policies.

In case of exemplary conduct, individuals are also recognized and their high level of professionalism appreciated.

The link to the learning environment reporting website is noted below:

<http://utmc.utoledo.edu/learningenvironment/>

Other reporting mechanisms available to all medical students include reporting events or incidents directly to faculty members or associate or assistant deans of the COM (within the Department of Medical Education and/or Student Affairs).





## WELCOME DR. BINDU MENON



**Dr. Bindu Menon**, who joins the Department of Medical Education as an Assistant Professor, will be teaching physiology (cardiovascular, renal, pulmonary and digestive systems) and biochemistry (carbohydrate metabolism) topics in the foundational sciences curriculum. Dr. Menon received her Ph.D. in Biochemistry from the University of Kerala, India in 2001. Soon, she joined East Tennessee State University as a postdoctoral fellow with her studies focusing on the molecular mechanisms of cardiac myocyte apoptosis. Before joining UT, Dr. Menon was a research track faculty (Assistant Research Scientist) at the University of Michigan, Ann Arbor. Dr. Menon's current research focuses on the "Regulation of gonadotropin receptors and its role in metabolic abnormalities". She has published numerous peer-reviewed articles, co-authored book chapters and is a regular presenter at professional conferences.



Congratulations to MD/ JD student, **Mark Fadel**, on his impressive achievement of winning two writing awards in the area of health law! He clearly exemplifies the goals of the MD/ JD program as it was developed.

**Dr. Shirley Bodi** and **Dr. Jeremy Laukka** received an invitation from the NBME to the "Invitational Conference for Educators (NICE)" program May 7-8, 2018. This is an opportunity for invited educators to receive specialized training in assessment by taking part in training workshops that include: Writing MCQ's for basic and clinical sciences, measuring validity and reliability of scores, psychometrics, training raters to produce unbiased ratings, different scoring instruments/rubrics and identifying challenges in measuring behaviors and skill to name a few.



### MARK YOUR CALENDAR!

This year's Bridge Course is scheduled June 11- June 15.

The course will run Monday- Friday. Students should plan to participate from 7:30 a.m. - 5:00 p.m. Monday through Thursday. The Student Clinician Ceremony will be held on Friday, 10:00 a.m. - 12:00 noon. As a reminder, this is a required course and due to the experiential nature, many components will not be available for make-up.



## CAPSTONE CORNER

As the semester begins to wind down quickly, this message serves as a reminder that all requirements are to be completed by the last day of the semester, April 27. In addition to the in-person requirements, the following must be submitted:

**Module Checklist**— Students use this checklist to track modules that have been completed for the course. Completed modules should be checked off and once the required number of modules have been complete, fill in your name and rocket ID and save the document as a PDF, and upload the completed document under the “Module Completion Checklist” link located under the “Module Checklist” tab in the left main menu. Detailed instructions are available within the “Module Checklist” tab as well. ***Once the module checklist is submitted, your course evaluation will become available in the left main menu.***

**Course Evaluation**— The Capstone Course Evaluation can be found under the “Course Evaluation” link in the left main menu, which will become available after you have completed the module checklist. ***Once the course evaluation has been completed, your attestation statement will become available in the left main menu.***

**Attestation Statement**— The Attestation Statement can be found under the “Attestation Statement” link in the left main menu, which will become available after you have completed the course evaluation. Instructions for completing and submitting this form can be found under this link as well. ***Once the attestation statement has been completed, your course certificate will become available in the left main menu.***

**Course Certificate**— The Course Certificate can be found under the “Course Certificate” link in the left main menu, which will become available after you have completed the attestation statement. This certificate is for your records only and will not need to be submitted. ***Congratulations! All requirements have now been completed.***

Please be sure to complete and submit forms in the sequence indicated above as forms release based on completion of the ones before them.

## LAST DAY OF SPRING SEMESTER, April 27

### STUDENT MENTAL HEALTH SERVICES



Students have access to mental health and counseling services at Kobacker Center on the Health Science Campus. Additional counseling services are available at the University Counseling Center on Main Campus as well. To make an appointment, please call 419.383.3815

#### Health Science Campus

Behavioral Health Services  
Amy Riese, M.D.  
Sandra McCluskey, LPCC-S  
Kobacker Center  
1400 East Medical Loop  
419.383.3815



#### Main Campus

University Counselling Center  
Rocket Hall, room 1810  
419.530.2426

### STUDENT WELLNESS SERVICES

Students have access to wellness services at the Ruppert Health Center on the Health Science Campus. Services include medical visits, travel consults, immunizations and program physicals. To make an appointment, please call 419.383.5000.

#### Health Science Campus

0013 Ruppert Health Center  
419.383.5000

<p><b>Name of Policy:</b> Professionalism and related standards of conduct/ disciplinary action and due process/appeals</p> <p><b>Policy Number:</b> 3364-81-04-017-02</p> <p><b>Approving Officer:</b> Dean, College of Medicine &amp; Life Sciences</p> <p><b>Responsible Agent:</b> Associate Dean for Clinical Undergraduate Medical Education</p> <p><b>Scope:</b> All University of Toledo Campuses</p>	 <p><b>Effective date:</b> 4/29/13</p>
<p><input type="checkbox"/> New policy proposal</p> <p><input type="checkbox"/> Major revision of existing policy</p>	<p><input checked="" type="checkbox"/> Minor/technical revision of existing policy</p> <p><input type="checkbox"/> Reaffirmation of existing policy</p>

(A) Policy statement

All students are responsible for understanding and complying with the Standards of Conduct defined by University of Toledo Health Science Campus (UT HSC) Policy No. 3364-25-01 and University of Toledo College of Medicine (UT COM) Policy No. 3364-81-04-017-01. In addition, as physicians-in-training, medical students are held to the highest standards of professionalism, and have a number of professional responsibilities that they are obligated to uphold. A failure to comply may result in disciplinary action, as described below. Students subject to adverse disciplinary actions are entitled to due process and appellate rights as outlined below.

Professional Behavior

Medical students are physicians-in-training, and thus are held to the highest standards of professionalism. Students must be thoughtful and professional in verbal, written, and electronic communications. When interacting with patients and their families, faculty, staff, and colleagues, the medical student must deal with professional, staff and peer members of the health team in a cooperative and considerate manner. Fatigue, stress, and personal problems do not justify unprofessional behavior.

It is unethical and unprofessional for a student to disparage without good evidence the professional competence, knowledge, qualifications, or services of a faculty member, resident, staff member, or colleague. It is also unethical to imply by word, gesture, or deed that a patient has been poorly managed or mistreated by a faculty member, resident, or colleague without tangible evidence.

Professional relations among all members of the medical community should be marked with civility. Thus, scholarly contributions should be acknowledged, slanderous comments and acts should be avoided, and each person should recognize and facilitate the contributions of others to the community.

Students may be subject to disciplinary action if their conduct, in the opinion of faculty, staff, or other students, is inconsistent with the accepted standards of the medical profession, if they refuse to comply with directions of College officials, academic or administrative, acting in performance of duties, if they inflict intentional or negligent damage to property belonging to the College or to members of the college or campus visitors, and if their actions constitute violations of law on or off college premises, especially if such adversely affect the College's pursuit of its educational activities.

### *Standards for Professional Behavior in the Educational Environment*

The following standards for professional behavior are in alignment with the Educational Program Objectives for the College of Medicine and are meant to supplement the Standards of Conduct, detailed in Policy No. 3364-25-01 and 3364-81-04-017-01.

The standards of professional behavior in the educational setting are related to three domains: 1) Individual Performance; 2) Relationships with students, faculty, staff, patients and community others; and 3) Support of the ethical principles of the medical profession, as expanded below for students in the College of Medicine:

#### Individual performance

1. Demonstrates independent and self-directed learning.
2. Recognizes personal limitations and seeks appropriate help.
3. Accepts constructive feedback and makes changes accordingly
4. Fulfills all educational assignments and responsibilities on time
5. Is punctual for all educational experiences (i.e., exams, clinics, rounds, small group sessions, appointments at the clinical skills center.
6. Adheres to dress code consistent with institutional standards.

#### Relationships with students, faculty, staff, patients and community

1. Establishes effective rapport.
2. Establishes and maintains appropriate boundaries in all learning situations.
3. Respectful at all times of all parties involved.
4. Demonstrates humanism in all interactions.
5. Respects the diversity of race, gender, religion, sexual orientation, age, disability and socioeconomic status.
6. Resolves conflict in a manner that respects the dignity of every person involved.
7. Uses professional language being mindful of the environment.
8. Maintains awareness and adapts to differences in individual patients including those related to culture and medical literacy.

#### Support of ethical principles of the medical profession

1. Maintains honesty.
2. Contributes to an atmosphere conducive to learning and is committed to advance scientific knowledge.
3. Protects patient confidentiality.

### *Professional Dress*

Students should at all times maintain a neat and clean appearance, and dress in attire that is appropriate. When students are functioning as medical professionals, either with clinical patients or simulated patients, dress must be appropriate and professional. A professional image increases credibility, patient trust, respect, and confidence. In addition, because medical students utilize facilities on campus where patients and the public are present, professional dress and appearance are also expected even when students are not engaged in patient care. The medical student Dress Code Policy is addressed in full in Policy No. HSC-COM-04-023-00. In addition, most of our clinical facilities have specific dress code policies that must also be followed. Furthermore, Photo I.D. badges are to be worn at all times.

Violation of the dress code can have detrimental consequences for patient care and could damage the reputation of the institution. Flagrant and repeated violations of the dress code may be deemed to signify a lack of insight or maturity on the part of the individual student and call for counseling and discipline. The immediate supervisor may choose to discuss initial violations of the dress code directly with the student. Serious or repeated violations may be subject to disciplinary action.

### Accurate Representation

A student should accurately represent herself or himself to patients and others on the medical team. Students should never introduce themselves as “Doctor” as this is clearly a misrepresentation of the student’s position, knowledge and authority.

### Evaluation

Students should seek feedback and actively participate in the process of evaluating their teachers (faculty as well as house staff). Students are expected to respond to constructive criticism by appropriate modification of their behavior. When evaluating faculty performance, students are obliged to provide prompt, constructive comments. Evaluations may not include disparaging remarks, offensive language, or personal attacks, and should maintain the same considerate, professional tone expected of faculty when they evaluate student performance.

### Teaching

It is incumbent upon those entering the medical profession to teach what they know of the science, art, and ethics of medicine. This responsibility includes communicating clearly with and sharing knowledge with patients so that they are properly prepared to participate in their own care and in the maintenance of their health. Medical students also have a responsibility to share knowledge and information with colleagues.

### Equipment Usage

Students assume full responsibility at all times for the loss of or damage to MUO equipment. Such loss or damage shall result in the assessment of the replacement cost as established by the Treasurer of the institution.

(B) Purpose of policy

To codify the standards for professional behavior and related standards of conduct for students in the College of Medicine, as well as the policy and procedures for due process and appeals in the event of breaches of the aforementioned standards.

(D) Procedure

Professional Behavior Report

- 1) Following the observation of unprofessional behavior by any member of the faculty or staff, the behavior or incident will be brought to the attention of the block/clerkship director and/or an Associate Dean in the College of Medicine, as appropriate.
- 2) The Professional Behavior Form should be completed and a narrative summary of the event(s) attached to the form.
- 3) A date and time is established for a meeting with the student regarding the matter.
- 4) During the meeting, the block/clerkship director should discuss the issues related to the unprofessional behavior observed with the student and a plan for remediation.
- 5) At the completion of the meeting, the form is signed by both the student and the block/clerkship director.
- 6) A copy of the form is returned to the Associate Dean of Undergraduate Medical Education in the Medical Education Office and placed in the student's "professionalism" file.
- 7) On the accumulation of the third form in the student's "professionalism" file, the student will meet with the appropriate Associate Dean of UME and receive a formal VERBAL warning.
- 8) On the filing of the fourth unprofessional behavior form the student will receive a WRITTEN warning.
- 9) On the filing of the fifth unprofessional behavior form the student's file will be forwarded to the Student Promotions Committee for review. Possible actions of this committee include suspension or dismissal from the College of Medicine.

Disciplinary Action and Due Process

Students are subject to disciplinary action for violation of the institutional standards of conduct, including breach of their responsibilities, as detailed above. The types of disciplinary action are:

- Verbal warning. The violation is brought to the student's attention. A warning is verbally given which clearly defines the formal disciplinary measures possible if further, similar actions occur.

- Written warning. The student is informed, in writing, of the violation. A copy of this warning is placed in the student's file in Student Affairs. The warning must state that any future incidents of misconduct may result in suspension or dismissal.
- Suspension. The student is notified in writing that he/she cannot attend classes/clerkships for a prescribed period of time. The suspension may carry requirements for specific activities (i.e., counseling, therapy, professional evaluations) prior to being allowed to resume student status. (In this case, an extension of the prescribed period for completing all academic requirements may be considered.)
- Dismissal. The student is notified in writing that he/she is no longer affiliated with the College of Medicine.
- Other requirements as specified by the Medical Student Conduct and Ethics Committee, the Dean, or the President. These may include counseling, psychological or psychiatric evaluation, writing a paper on a related topic, sensitivity training, required mentoring, etc.

#### Due Process

Due process will be provided to a student accused of violating institutional standards of conduct that is beyond a verbal warning or where the action is punitive in nature, or for violations of professionalism or ethics. The committee chair will do the following:

- 1) Notify in writing the Student of the charge(s), the date, time, and location of the due process hearing, as well as the composition of the hearing committee. If the charge(s) could result in a recommendation of dismissal from UT COM, then the notice will inform the Student of that possibility. Notice of the hearing must be delivered at least ten (10) days before the hearing date. The Student will be given the opportunity and is urged to appear before the committee to fully present his/her position on the allegations. The Student may waive the right to such appearance in his/her sole discretion.
- 2) The Student will be provided (by way of a statement or other summary) any relevant information or evidence that a complainant plans to bring or that will be considered by the committee relating to the allegations before the committee. The complainant may present affidavits of persons unavailable to come before the committee, exhibits, witnesses and any other similar information for the committee. All written materials must be provided to the student least three (3) business days prior to the hearing.
- 3) Notify in writing the Student of the specific protocols to be followed in the investigation/hearing and to provide a copy of this policy to the Student
- 4) Invite the complainant(s) to the hearing.
- 5) Preside at the hearing, for which minutes will be kept, and at the committee chair's request, which may be recorded or transcribed.

- 6) The chair will notify the Student in writing of the date, time and location of the committee meeting, as well as the composition of the committee. Notice of the hearing must be delivered at least ten (10) days before the hearing date. The chair will also preside over the hearing for which minutes will be kept.
- 7) In any instance where the Student is facing criminal charges arising out of the same or related conduct that is the subject of the hearing and/or where dismissal from UT COM is a possibility and after notice of that fact has been provided to the Student, then the Student may, upon five (5) days written notice to the chair of the committee, have an attorney present to provide counsel to the Student. If the Student elects in such circumstances to have counsel appear at the hearing, UT COM may, in that instance, similarly have counsel present at the hearing to assist the committee. In all other cases, the Student may, in his/her discretion, have a faculty member or fellow student attend the hearing as his/her advisor.
- 8) The hearing is not, and should not be construed to be a legal trial. Both the complainant(s) and the Student will be permitted to make any statement relevant to the issue(s) being addressed. The Student, the complainant as well as any other witness will be permitted to answer any questions posed by any member of the committee. If counsel for the Student is permitted to attend as set forth herein, he/she will, in the Student's sole discretion, be permitted to make such statements to the committee as are deemed appropriate. Neither the complainant(s), the Student, nor his/her counsel (if applicable) is permitted to ask questions of any witness; provided, however, if the Student calls a third party witness to speak before the committee on his/her behalf, he/she may ask questions of that witness(es).
- 9) The Student will have a full opportunity to present (by way of a statement made by him/herself or, if applicable, by his/her counsel) any relevant information to the committee relating to the allegations before the committee. The Student or his/her counsel (if applicable) may present affidavits of persons unavailable to come before the committee, exhibits, witnesses and any other similar information for the committee to consider in issuing its findings and recommendations. If the Student desires to distribute written materials to the committee members, he/she must present them at least three (3) business days prior to the meeting for copying, or must prepare adequate numbers of copies him/herself.
- 10) The student is expected to cooperate in the investigation/hearing. The complainant is expected to cooperate in the investigation/hearing and cannot be guaranteed anonymity.
- 11) Any recommendation for student discipline up to and including dismissal from UT COM will be based exclusively on the information (evidence) received at the hearing.

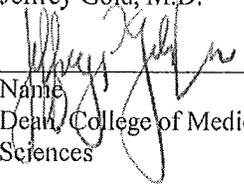
Upon completion of the hearing, the committee will, by majority vote, agree to findings and determinations concerning disciplinary actions for violation of institutional standards of conduct, if any. The findings and conclusions shall be reduced to a written statement of findings and actions signed by the chair of the committee and delivered to the Student and to the Dean of the College of Medicine within ten (10) business days after the hearing.

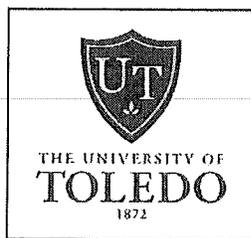
Appeal

- a. The Student may appeal an automatic dismissal or the committee's decision to the Dean of the College of Medicine:
- b. A written request for appeal must be received within fifteen (15) days following the issuance of the written recommendation, or any further right to appeal is waived.
- c. The Dean of the College of Medicine will:
  - i. Personally review all of the evidence presented in the hearing (including minutes and any available transcripts and exhibits), which may include a meeting with the Student the applicable process matters raised by the Student (if any), the specific concerns concerning the issues raised by the Student concerning promotion, remediation or academic dismissal; and
  - ii. Appoint an *ad hoc* committee of any number, which may include individuals from outside the College of Medicine, to hear the Student's appeal and make a recommendation to the Dean, and which may also include a meeting with the Student.
- d. Upon review of the evidence presented and the concerns raised by the Student, and upon receipt of the *ad hoc* committee's written recommendation, the Dean of the College of Medicine may consider the recommendations of that panel, and may choose to uphold, reverse, or return the findings and recommendations to the original committee for reconsideration of some or all of their findings or recommendations.
- e. The Dean of the College of Medicine will provide the decision regarding all findings to the Student within no later than 45 days from the date in which the appeal was first filed by the Student. The decision of the Dean of the College of Medicine will be final.

Pendency of Action

Generally, implementation of disciplinary action will be suspended until all appeals made by the student have been exhausted. However, the Dean of the College of Medicine may, in his/her discretion, impose interim suspensions and/or restrictions on the Student if the Dean of the College of Medicine believes that the alleged conduct in any way concerns patient and/or public (including faculty and other student) safety, or when dismissal from UT COM is a possible sanction.

<p>Approved by:</p> <p>Jeffrey Gold, M.D.</p> <p></p> <hr/> <p>Name Dean, College of Medicine &amp; Life Sciences</p> <hr/> <p>Title</p> <p></p> <hr/> <p>Date</p> <p><i>Review/Revision Completed by:</i></p>	<p><b>Policies Superseded by This Policy:</b> None</p> <p><b>Initial effective date:</b> 11/18/05</p> <p><b>Review/Revision Date:</b></p> <ul style="list-style-type: none"><li>• 11/18/05</li><li>• 08/08/06</li><li>• 01/02/07</li><li>• 10/16/08</li><li>• 11/14/11</li><li>• 4/29/13</li></ul> <p><b>Next review date:</b> 4/29/16 (three years from most recent revision/review date)</p>
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## PROFESSIONAL BEHAVIOR REPORT

\_\_\_\_\_  
Student name (*type or print legibly*)

\_\_\_\_\_  
Block/Clerkship (*Name & Block no.*)

\_\_\_\_\_  
Faculty submitting report (*print and sign*)

\_\_\_\_\_  
Date

*The above student has demonstrated unprofessional behavior that is inconsistent with the following professionalism standards. (Circle all that apply)*

Individual

1. Demonstrates independent and self-directed learning.
2. Recognizes personal limitations and seeks appropriate help.
3. Accepts constructive feedback and makes changes accordingly.
4. Fulfills all educational assignments and responsibilities on time.
5. Is punctual for all educational experiences (i.e. exams, clinics, rounds, small group sessions, appointments at the clinical skills center).
6. Adheres to dress code consistent with institutional standards.

Relationships with students, faculty, staff, patients and community

1. Establishes effective rapport.
2. Establishes and maintains appropriate boundaries in all learning situations.
3. Respectful at all times of all parties involved.
4. Demonstrates humanism in all interactions.
5. Respects the diversity of race, gender, religion, sexual orientation, age, disability and socioeconomic status.
6. Resolves conflict in a manner that respects the dignity of every person involved.
7. Uses professional language being mindful of the environment.
8. Maintains awareness and adapts to differences in individual patients including those related to culture and medical literacy.

Support of ethical principles of the Medical Profession

1. Maintains honesty.
2. Contributes to an atmosphere conducive to learning and is committed to advance scientific knowledge.
3. Protects patient confidentiality.

*A signed narrative of a description of the observed behavior and circumstances is attached.*

*Check this box if you feel that the unprofessional behavior requires immediate action by the Associate Deans of Undergraduate Medical Education.*

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**I have met with the student and discussed the following suggestions for change:**

\_\_\_\_\_  
Block/Clerkship Director (*Signature*)

\_\_\_\_\_  
Date

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**This section is to be completed by the student.**

**I have read this evaluation and discussed it with the Block/Clerkship Director.**

\_\_\_\_\_  
Student signature

\_\_\_\_\_  
Date

*Comments: (optional, please use back for additional comments)*

<b>Name of Policy:</b> The Learning Environment and Faculty Professionalism  <b>Policy Number:</b> 3364-81-04-018-00  <b>Approving Officer:</b> Dean, College of Medicine & Life Sciences  <b>Responsible Agent:</b> Associate Dean for Professionalism, College of Medicine & Life Sciences  <b>Scope:</b> Faculty in the College of Medicine & Life Sciences		  <b>Effective date:</b> 1/30/14
<input type="checkbox"/>	New policy proposal	Minor/technical revision of existing policy
<input checked="" type="checkbox"/>	Major revision of existing policy	Reaffirmation of existing policy

**(A) Policy Statement**

The University of Toledo, College of Medicine & Life Sciences subscribes to the Association of American Medical College's guiding principles for promoting a positive learning environment and expects all faculty in the College of Medicine & Life Sciences to understand and comply with these principles at all times.

**(B) Purpose of Policy**

The purpose of this policy is to clarify expectations of professionalism and behavior for Faculty. The purpose is to promulgate the University's commitment to providing a positive learning environment for our students, staff or other faculty members and patients and to have a mechanism in place for to report exemplary professionalism by the Faculty as set forth in Article F below, as well as unprofessional behavior or perceived abuse or mistreatment. The purpose is to clarify that persons may report their concerns without any fear of retribution and with the expectation that the College of Medicine & Life Sciences will thoroughly investigate and address appropriately their concerns.

**(C) Scope**

The policy applies to all faculty members in the College of Medicine & Life Sciences, including all programs within the College (i.e., Physician Assistant Program) (referred to in this policy as "Faculty").

**(D) Peer Review Nature of Professionalism Reviews**

**Confidentiality:** The processes and committees formed under this policy are peer review processes and committees as defined by section 2305.25 of the Ohio Revised Code. As such, such committee's procedures, notes and records created for or on behalf of the committee, including any investigatory or ad hoc committee, are confidential and must be held in confidence.

(E) Standards for Faculty

1) General Expectations<sup>1</sup>

- a. Faculty members, as medical educators, have a duty, not only to convey the knowledge and skills required for delivering the profession's contemporary standard of care, but also to inculcate the values and attitudes required for preserving the medical profession's social contract across generations.
- b. Faculty members, as medical educators, must be role models who epitomize professional values and attitudes in order to have a learning environment suffused with integrity and in which students learn enduring lessons of professionalism.
- c. Fundamental to the ethics of medicine is respect for every individual. Mutual respect between learners, as novice members of the medical profession, and their teachers, as experienced and esteemed professionals, is essential for nurturing that ethic. Given the inherently hierarchical and asymmetrical nature of the teacher/learner relationship and the health delivery enterprise, Faculty members have a special obligation to ensure that they always treat students, patients and colleagues respectfully.

2) The Core Attributes of Professionalism:

Numerous national organizations<sup>2</sup> have developed consensus statements and guidelines that outline the core attributes of professionalism. The following list although not exhaustive details the attributes of physicians who are involved in care of patients, however, a number of these principles hold value for medical educators as well. These core attributes include

- a. **Altruism** refers to the best interests of a Faculty member's patients and not to one's self.
- b. **Responsibility & Accountability** Requires that all Faculty members be responsible and accountable to patients for fulfilling the duties within the physician/patient relationship. Faculty members also must be accountable to society and to the profession for adhering to time honored ethical precepts.
- c. **Excellence & Scholarship** entails a conscientious effort to exceed ordinary expectations and to make a commitment to lifelong learning. It is an acknowledged goal for all physicians and members of the College of Medicine & Life Sciences Faculty.
- d. **Duty** is the free acceptance of a commitment to service. This commitment entails being available and responsive when "on-call" for clinical services, accepting inconvenience to meet the patient's needs, enduring unavoidable risks to oneself

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<sup>1</sup> Medical Professionalism in the New Millennium: A Physician Charter. *Annals of Internal Medicine* 2002; 136: 243-6

<sup>2</sup> AMA Code of Medical Ethics. <http://www.ama-assn.org/ama/pub/physician-resources/medical-ethics/ama-code-medical-ethics/principles-medical-ethics.shtml>

when a patient's welfare is at stake, advocating the best available care regardless of the ability to pay, seeking active role in professional organizations, and volunteering one's skill and expertise for the welfare of the community.

- e. **Honor and Integrity** is the consistent regard for the highest standards of behavior and refusal to violate one's personal and professional codes. These qualities include being fair, being truthful, keeping one's word and meeting commitments. Honor and integrity also requires avoiding conflict of interest and avoidance of relationships that allow personal gain to supersede the best interest of the patients as well as learners.
  - f. **Respect for others** including but not limited to patients and the patient's family, other physicians and professional colleagues such as nurses, residents, fellows and medical students.
  - g. **Caring & Compassion** is exhibiting a deep awareness, concern, and empathy for others coupled with the wish to relieve those experiencing the situation.
  - h. **Cultural Competency** is being well qualified to recognize, adapt, and respond to culturally based challenges during clinical and interpersonal encounters. It also includes adapting communication styles to that of the patient and their families.
  - i. **Confidentiality** is protecting the patient's information and being aware of mandated privacy regulations (e.g., FERPA and HIPAA).
  - j. **Leadership** is the capacity to guide, direct or serve as a channel for others. A leader shares responsibility for group learning, feedback, and discussion, supports colleagues by creating a collegial learning environment, and allows others to demonstrate excellence when appropriate.
- 3) **Domains of Professionalism.** Standards of professional behavior in the educational setting are related to multiple domains including but not limited to relationships with students or other learners, faculty members, staff, patients and their families as well as others. It is the responsibility of all faculty members to create a positive atmosphere conducive to learning and supporting the ethical principles listed above.
- 4) **Minimum standards of behavior.** Faculty of the College of Medicine & Life Sciences are held to the standards expected of similarly situated academic faculty and instructors. The policies listed below are exemplary, and not exhaustive, of the rules that apply to Faculty, and to which Faculty may be subject to discipline, up to and including termination:
- a. Faculty Rules and Regulations as such rules are formally adopted by Faculty and the University of Toledo Board of Trustees;
  - b. College of Medicine & Life Sciences policies that apply to Faculty;
  - c. *iCare* Standards policy 3364-10-11, Standards of Conduct policy 3364-25-01 and Workplace Violence policy 3364-60-07;

- d. Health Care Compliance Plan and HIPAA policies 3364-100-90-01 through 03, 3364-100-90-05, 3364-100-90-07 through 09, 3364-100-90-11 through 18, and related rules and regulations;
- e. Resolution of Conflict in accordance with Faculty Grievance and Appeals Policy 3364-72-51;
- f. University research policies, including but not limited to 3364-70-21 Policy on Integrity in Research and Scholarship and Procedures for Investigating Allegations of Misconduct in Research and Scholarship, financial conflict of interest for sponsored research programs policy 3364-70-01 or responsible conduct of scholarship and research policy 3364-70-02;
- g. If convicted or pleads to any felony, any drug-related misdemeanor or crime involving moral turpitude or immoral conduct or engaged in activity that constitutes any such crime.

**5) Disruptive Behavior.** Disruptive Behavior is prohibited by all Faculty in all University facilities and environments where students, residents and other Faculty learn and work. Disruptive behavior may result in review under this or other applicable policy or rules. Prohibited behavior by a Faculty member includes, but is not limited to, words, acts, or omissions that:

- a. Prevent or interfere with an individual's or group's work, academic performance, or ability to achieve intended outcomes. Examples include but are not limited to intentionally ignoring questions or not returning phone calls or pages related to matters involving patient care, or publicly criticizing other members of the team or the institution;
- b. Create, or have the potential to create, an intimidating, hostile, offensive, or potentially unsafe work or academic environment. Examples include verbal abuse, threatening or intimidating words, or words reasonably interpreted as threatening or intimidating;
- c. Threaten personal or group safety, such as aggressive or violent physical actions; or
- d. Fail to knowingly comply with University or UTMC policies, including those related to conflicts of interest and compliance; or
- e. Fail to comply with the University's sexual harassment/harassment policy or non-discrimination policies.

**(F) Procedure for Exemplary Professionalism, or Unprofessional or Disruptive Behavior**

- 1) Exemplary Professionalism Reports. In the event that a student, resident, fellow, staff member, patient or other faculty member wishes to report exemplary Faculty professionalism, the person should take the following steps

- a. The person should complete the Professional Behavior Report (Appendix A) with a narrative summary of the event(s) attached to the form;
- b. The person should submit the completed report form to *any* of the Associate Deans in the College of Medicine & Life Sciences, to the Office of Faculty Affairs or to the Office of the Dean of the College of Medicine. The Associate Dean for Professionalism will receive all Reports and house such Reports. The Associate Dean for Professionalism will provide a copy of the Report to the Chair of the Department within which the Faculty member belongs and a copy will be forwarded to the Office of Faculty Affairs and placed in the Faculty member's employment file.

2) Violation of Policy, Unprofessional or Disruptive Behavior

- a. Any student, patient, resident, fellow, staff or other faculty member who experiences mistreatment or who witnesses unprofessional or disruptive behavior or a violation of the code of conduct by a member of the Faculty ***is strongly encouraged to report*** the facts immediately to the Student Ombudsman, any Faculty member, Associate Dean, the Office of Faculty Affairs, or the Dean of the College of Medicine & Life Science's Office.
- b. The person receiving or witnessing the mistreatment or unprofessional behavior should: 1) complete the attached form, the Faculty Professionalism Report of Unprofessional Behavior or Mistreatment; 2) submit the allegations in writing to any COMLS Associate Dean; or 3) submit the complaint or allegation through the learning environment anonymous reporting mechanism made available to all students at <http://utmc.utoledo.edu/learningenvironment>. Any of these forms of reporting regarding a COMLS Faculty member with respect to the learning environment will be considered a Report under this policy (the "Report").
- c. Any complaint regarding racial or sexual harassment must also be addressed through University policies 3364-50-01, -02 and -03.
- d. Persons reporting have protection from retaliation in accordance with University policy and reports of mistreatment or violations of standards of conduct will be addressed in a fair and professional manner without fear of retaliation to the person initiating the issue or complaint in accordance with such University policy. In addition, persons reporting will receive acknowledgement of receipt of the complaint and notice of final resolution subject to limitations regarding protected information.

3) Once a Faculty Professionalism Report of Unprofessional Behavior or Mistreatment has been made:

- a. Receipt of Report. The Report must be provided to the Associate Dean for Professionalism by the person completing the Report or the Associate Dean receiving the Report. The Associate Dean for Professionalism will monitor the anonymous reporting mechanism. If the Associate Dean for Professionalism is the subject of the Report the Report should be forwarded to the Dean of the College of Medicine & Life Sciences.

- b. Administrative Leave. At the discretion of an Appointing Authority, and in accordance with the policies and practices of the University, the Faculty member may be immediately placed on administrative leave, paid or unpaid, pending the outcome of the investigation and final determination findings and discipline if any, based on the severity of the allegation.
  
- c. Determination of the Formulation of an Ad Hoc Committee.
  - i. A determination will be made by any two of the three persons listed in Section 3.c.ii. below as to whether the matter or allegations on the face of the Report contain facts to warrant only an informal discussion or other mechanism of communication consistent with current practice with the Faculty member and not the appointment of a COMLS ad hoc committee because:
    - 1) there is no present known pattern of behavior;
    - 2) or the facts alleged on their face do not arise to an egregious or mandated review under University policy or applicable law; or
    - 3) whether the matter or allegations would be more appropriately handled under a medical staff policy (see Section 4 (b)) below.
  
  - ii. A review may be conducted of the Faculty member's employment file(s), patient complaints, if applicable, or other historical behavioral files and information to determine whether a pattern of inappropriate behavior has occurred or is continuing. At least two of the three following individuals must concur as to the appropriateness of the formulation of a COMLS ad hoc committee or referral to the medical staff for further review (or review under both):
    - 1) the Associate Dean for Professionalism;
    - 2) the Vice President for Medical Affairs/Associate Dean for Clinical Affairs (VPMA); and/or
    - 3) Chief of Staff for the UTMC Medical Staff
  
  - iii. The Associate Dean for Professionalism, the VPMA and Chief of Staff will be consistent, fair and non-discriminatory in all determinations of whether to recommend the appointment of an ad hoc committee or refer the matter to the appropriate medical staff committee.
  
  - iv. If the allegations contained in the Report are found to not warrant the appointment of an ad hoc committee or referral to a medical staff committee, an informal discussion or similar mentoring-type discussions may be held with the Faculty member by any peer Faculty member.
  
  - v. After awareness is made to the Faculty member through this informal mechanism, and the apparent pattern has been made known to a faculty member with expected behaviors, and after subsequent incidents or Reports it becomes appropriate for guided intervention by authority, in which case, the Chair of the Faculty member, an Associate Dean, VPMA or the Dean of the College of Medicine & Life Sciences would be included in the discussions with the Faculty member with respect to the

pattern of behavior. See subsection g below.

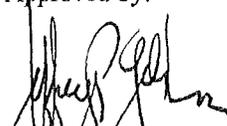
- d. Appointment of Ad Hoc Committee. If an ad hoc committee is recommended and then appointed by the Dean of the College of Medicine & Life Sciences, the following will apply:
- i. The ad hoc committee will include no less than three voting members and the Associate Dean for Professionalism. The Associate Dean for Professionalism will serve as a non-voting member and who may be recused by the Dean based on a conflict of interest.
  - ii. The ad hoc committee will include faculty of the College that are without material conflict with the allegations set forth in the allegations or complaint. The ad hoc committee may include the VPMA/Associate Dean for Clinical Affairs, the Associate Dean for Student Affairs, the Associate Dean for Undergraduate and Graduate Medical Education, the Associate Dean for Preclinical Medical Education, other COMLS faculty members, or other faculty.
  - iii. The suggested membership of the ad hoc committee will be recommended by the Associate Dean for Professionalism to the Dean of the College of Medicine & Life Sciences and approved in a timely fashion.
  - iv. Independent Investigation. The Associate Dean for Professionalism will ensure that an independent and thorough investigation be conducted by persons without conflict or involvement in the allegations (for racial or sexual harassment, this may include the report conducted under those applicable policies). Under the independent investigation, the Faculty member's employment file(s), patient complaints, if applicable, or other historical behavioral files and information should be reviewed and considered within the investigation to determine whether a pattern of inappropriate behavior has occurred or is continuing. An investigation may be conducted concurrently with other medical staff committee reviews or investigations, as long as the purpose of the investigation is for submission to a confidential peer review or quality assurance committee of a health care entity. Within the investigation, a reasonable effort will be made to obtain the facts. The investigation should include the gathering of facts involving those witnessing the alleged event(s).
  - v. The ad hoc committee will review the results and findings of the completed independent investigation.
  - vi. The ad hoc committee will allow the Faculty member who is the subject of the Report to meet with the committee if the Faculty member so desires. The Faculty member may also wish to submit a written statement. In either case, the Faculty member is permitted to explain the situation and investigatory findings from his or her perspective. The Faculty member will not be entitled to legal counsel. If a meeting is requested, the Faculty member will be given adequate proper notice of the time and place of the meeting with the membership of the ad hoc

committee. If the Faculty member requests an opportunity to respond in writing, the Faculty member will be given adequate time to provide.

- e. Recommendations. The ad hoc committee will formulate written recommendations with respect to findings of violations of policy or other applicable rules and make recommendations for disciplinary action, if warranted. The ad hoc committee will forward their findings and recommendations to the Dean of the College of Medicine & Life Sciences. As a peer review committee, the drafts and recommendations made within the ad hoc committee will be protected to the extent required under Ohio law.
- f. Final Determinations. The Dean of the College of Medicine & Life Sciences will make a final determination of whether there occurred a policy or rule violation and the proper disciplinary action. The final decision of the Dean will be rendered within 120 days of the filing of the initial Report, unless circumstances warrant otherwise.
- g. Discipline. A tiered approach will used for disciplinary action to be applied by the College will be based on severity and frequency of the infraction(s), violations or acts or omissions.
  - i. For single minor events, an informal discussion may be sufficient with a peer member.
  - ii. For single events or a pattern of events or behavior, the Chair or an Associate Dean or the Dean may be asked to discuss the conduct or pattern with the Faculty member.
  - iii. For recurring events of unprofessional behavior, monitored behavior, peer review, outside counseling or other behavior modification processes may be required.
  - iv. For any infractions, violations or acts or omissions, a disciplinary letter may be placed in the faculty member's file. The disciplinary letter may be from the Faculty member's Chair, the VPMA/Associate Dean for Clinical Affairs, or from the Dean of the College of Medicine & Life Sciences addressed to the Faculty member advising the Faculty member of the findings and violations, which then is placed in the Faculty member's file in the Office of Faculty Affairs.
  - v. For a serious single event or series of unprofessional behavior events, intervention and disciplinary action is required, up to and including notice of termination, suspension or immediate termination in accordance with the Faculty Rules and Regulations and other applicable policies and rules.
- h. Rights of Faculty. All Faculty members will have the rights afforded to Faculty members under the Faculty Rules and Regulations, the Faculty Grievance and Appeals policy or other applicable policies or procedures promulgated from time to time by the University or the Board of Trustees.

4) Other Applicable Procedures:

- a. Sexual Assault, Sexual Harassment, Harassment or Discrimination. All reports of sexual or racial harassment or discrimination (based on race, religion, ethnicity, gender, sexual orientation, disability or age,) are also to be reported in accordance with policies 3364-50-01, -02 and -03, as amended. Reports may be made to the Office of Institutional Diversity (Office of Inclusion) and/or Human Resources Department or by calling the compliance Hotline (1-888-416-1308) all of which will be forwarded to the proper party for investigation as required by the above policies. The Dean of the College of Medicine & Life Sciences may invoke Article 3 c. above and call an ad hoc committee to carry out his duties as supervisor for faculty in the College of Medicine & Life Sciences and follow the procedures set forth in this policy.
- b. Allegations Regarding Clinical Care or Clinical Competency. Allegations regarding suboptimal clinical patient care, practitioner competency or patient care quality concerns, practitioner incapacity or impairment in the clinical setting, medical record delinquency or other allegations of a clinical peer review nature should be dealt with in accordance with the Medical Staff Bylaws and applicable Medical Staff and UTMC policy within appropriate peer review or quality assurance committees. A disruptive Faculty member may be dealt with under this policy or under the Medical Staff's Disruptive Physician policy as applicable.

<p>Approved by:</p>  <p>Jeffrey P. Gold, M.D. Dean, College of Medicine &amp; Life Sciences</p> <p><u>1/20/2014</u> Date</p> <p><i>Review/Revision Completed by: Senior Leadership Team College of Medicine &amp; Life Sciences Committee on Rules and Governance Office of Legal Affairs</i></p>	<p><b>Policies Superseded by This Policy:</b></p> <ul style="list-style-type: none"><li>• none</li></ul> <p><b>Initial effective date:</b> 3/1/09</p> <p><b>Review/Revision Date:</b></p> <ul style="list-style-type: none"><li>• 12/28/10</li><li>• 2/20/12</li></ul> <p><b>Next review date:</b> (three years from most recent revision/review date)</p>
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Addendum A  
College of Medicine & Life Sciences  
**FACULTY PROFESSIONALISM REPORT**

Faculty name and Course(*type or print legibly*) Check if you are reporting:

\_\_\_\_\_  
\_\_\_\_\_

Exemplary Professional Behavior

Unprofessional Behavior or Mistreatment

*The above Faculty member has demonstrated exemplary professional conduct, or in the alternative, misconduct or unprofessional behavior as follows (check all that apply):*

a. **In the medical profession through support of the ethical principles applicable to the profession** by creating a positive atmosphere conducive to learning and supporting the ethical principles of duty, altruism, honesty and confidentiality, or more specifically:

- Maintaining honesty and truthfulness in all patient care and educational experiences;
- Being held accountable to patients for fulfilling the duties within the physician/patient relationship;
- Accepting a commitment to service and demonstrating a desire to put the best interests of the patient before one's self;
- Protecting the confidentiality of patient and student information as required by law and applicable policy; and
- Creating a positive educational environment for students, residents, fellows and faculty that fosters learning.

b. **In Relationships with students, faculty, staff, patients and others** by maintaining appropriate boundaries, exhibiting compassion, respect for humanism and diversity and ensuring appropriate forms of communication with students, faculty, staff, patients and others, and using a dignified approach to conflict resolution and avoiding conflict in order to foster trust and demonstrate leadership, or more specifically:

- Showing **respect** for patients, students, residents and fellows, faculty and other health care professionals;
- Establishing and maintaining **appropriate boundaries** with patients, residents, fellows and students in all learning situations;
- Exhibiting compassion** for others;
- Demonstrating humanism** and the value of humans in all interactions;
- Respecting diversity** and **maintaining sensitivity to cultural** differences;
- Resolving conflicts** in a manner that respects the dignity of all involved;
- Using **professional language and communicating effectively** with students, patients and coworkers;
- By appropriately managing and **avoiding conflicts of interest**; and
- Exhibiting a deep awareness, concern, and **empathy for others** coupled with the wish to

relieve the source.

- Recognizing, adapting and responding** to culturally based challenges during a clinical encounter and adapting communication styles to the patient's.
  - Maintaining confidentiality** by protecting the patient's information and being aware of mandated privacy regulations, e.g., FERPA (students) and HIPAA (patients).
  - Showing Leadership** through the capacity to guide, direct or serve as a channel for others, sharing responsibility for group learning, feedback, and discussion, supporting colleagues by creating a collegial learning environment, and allowing others to demonstrate excellence when appropriate.
- c. **In Individual Performance by maintaining ethical standards** expected of all medical professionals;
- Being consistently punctual and timely with regard to clinical and educational experience and professional in dress and appearance.

- 
- Check this box if the exemplary conduct or unprofessional behavior requires immediate action.*

*Narrative description of the observed behavior and circumstance (use additional sheets if necessary)*

Date of Incident: \_\_\_\_\_

\_\_\_\_\_  
\*\*Individual submitting Report (*print name and sign*)

Date Submitting Report: \_\_\_\_\_

\_\_\_\_\_  
Associate Dean for Professionalism (*print and sign*)

Date of Receipt of Report: \_\_\_\_\_

\*\* May be completed anonymously, but anonymous reports make it extremely difficult for the University to investigate and address appropriately