


<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  <b>Responsible Agent:</b> Associate Dean for Medical Education, Professionalism, and Diversity, College of Medicine  <b>Scope:</b> Faculty in the College of Medicine		
	New policy proposal	Minor/technical revision of existing policy
X	Major revision of existing policy	Reaffirmation of existing policy

**(A) Policy Statement**

The University of Toledo, College of Medicine 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 to understand and comply with those principles at all times.

**(B) Purpose of Policy**

To clarify expectations of professionalism and behavior for Faculty members in the College of Medicine. 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 well as unprofessional behavior or perceived abuse or mistreatment; To clarify that persons may report their concerns without any fear of retribution and with the expectation that their concerns will be thoroughly investigated and addressed appropriately.

**(C) Standards**

**1) General Expectations<sup>1,2</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 that is 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 nature of the teacher/learner relationship, 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>1,2</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 but a number of these principles hold value for medical educators as well. These core attributes include

1. **Altruism** refers to the best interests of a Faculty member's patients and not to one's self.
2. **Accountability** Requires that all Faculty members be 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.
3. **Excellence** entails a conscientious effort to exceed ordinary expectations and to make a commitment to life long learning. It is an acknowledged goal for all physicians and members of the College of Medicine Faculty.
4. **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 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.
5. **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.
6. **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.

**3) Standards of professional behavior in the educational setting are related to three domains:**

**a. Individual Performance**

- i. Is consistently punctual and timely with regard to all clinical and educational experiences.
- ii. Is consistently professional in dress and appearance.
- iii. Maintains ethical standards expected of all medical professionals

**b. Relationships with students, faculty, staff, patients and others**

- i. Shows respect for patients, students, house staff, faculty and other health care professionals.
- ii. Establishes and maintains appropriate boundaries with patients, house staff and students in all learning situations.
- iii. Demonstrates humanism in all interactions.
- iv. Respects diversity and maintains sensitivity to cultural differences.
- v. Resolves conflicts in a manner that respects the dignity of all involved.
- vi. Uses professional language and communicates effectively with students and patients.
- vii. Maintains trust by appropriately managing conflict of interest

**c. Support of the ethical principles of the medical profession**

- i. Maintains honesty in all situations including patient care and educational experiences.
- ii. Protects the confidentiality of patient and student information.
- iii. Creates a positive atmosphere conducive to learning.

**4) Minimum standards of behavior below which a Faculty may be subject to discipline, up to and including termination or dismissal:**

- a. Violates the Faculty Rules and Regulations as such rules are formally adopted by the Board of Trustees;
- b. Violates policy 01-052 with regard absenteeism and tardiness;
- c. Violates policy 3364-25-06 with regard to the University of Toledo Medical Center's dress code;
- d. Violates policy 3364-100-90-1 through 12 with regard to confidentiality of protected health information as required by HIPAA or applicable law;
- e. Violates standard of conduct policy 3364-25-01;
- f. Fails to resolve conflict in accordance with the Grievance Procedure outlined in policy 05-057 when applicable;
- g. Violates any applicable University research policy, including but no limited to academic and scientific misconduct policy 02-003, financial conflict of interest for sponsored research programs policy 3364-70-01 or responsible conduct of scholarship and research policy 3364-70-02.
- h. Violates UTMC Disruptive Behavior Policy # 3364-87-10.
- i. Violates any other University policy or rule applicable to Faculty or is convicted of any felony, any drug-related misdemeanor or crime involving moral turpitude

- or immoral conduct or engaged in activity that constitutes any such crime.
- j. Violates Compliance Incident Reporting Policy # 3364-15-03

**(D) Procedure**

- 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 following steps 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, to the Office of Faculty Affairs or to the Office of the Dean of the College of Medicine. The Associate Dean for Medical Education, Professionalism and Diversity will receive all Reports and house such Reports. The Associate Dean for Medical Education, Professionalism and Diversity 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 Behavior (not including harassment or discrimination). Any student, patient, resident, fellow, staff or other faculty member who experiences mistreatment or who witnesses unprofessional behavior or a violation of the code of conduct by a member of the Faculty should report (form attached) the facts immediately to any of the Faculty members, Associate Deans, the Office of Faculty Affairs, or the Dean of the College of Medicine's Office. Confidentiality is not guaranteed, but the University will strive to handle each reported matter carefully and diligently. Persons reporting are protected from retaliation in accordance with policy. 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. An independent investigation will be conducted by an ad hoc committee established by the Dean of the College of Medicine. This committee shall comprise of the Associate Dean for Clinical Affairs, Associate Dean for Student Affairs, Associate Dean for Undergraduate and Graduate Medical Education, Associate Dean for Medical education, Professionalism and Diversity, the Associate Dean for Preclinical Medical Education and other members at the discretion of the Dean. The recommendations of the committee will be forwarded to the Dean of the College of Medicine. All Faculty members will have the rights afforded to all Faculty members, if applicable, the Faculty Rules and Regulations, the Faculty Grievance and Appeals policy 05-057 or other applicable policies or procedures promulgated from time to time by the Board of Trustees. All findings of policy or other violation must be placed in the Faculty member's file in the Office of Faculty Affairs.

A tiered approach will be enforced for resolution and will be based on severity of infraction. For single minor events, an informal discussion may be sufficient although recurrent events or a serious unprofessional behavior will require intervention leading to

disciplinary action as detailed above.

- 3) Sexual harassment, harassment or discrimination. All reports of sexual harassment, racial harassment or discrimination (including discrimination or harassment based on race, religion, ethnicity, gender, sexual orientation, disability, or age,) are to be reported and handled in accordance with policies 3364-50-01, -02 and -03, as policies may be amended from time to time. Reports may be made to the Office of Institutional Diversity or in the alternative to Faculty, the Human Resources Department, and the Office of Legal Affairs 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. Persons reporting are protected from retaliation in accordance with the policy. 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.

<p>Approved by:</p> <p><u>/s/jpg</u> Jeffrey P. Gold, M.D. Provost and Executive Vice President for Health Affairs Dean of the College of Medicine</p> <p><u>May 11, 2009</u> Date</p> <p><i>Review/Revision Completed by: Senior Leadership Team College of Medicine Office of Legal Affairs Office of Human Resources Office of Institutional Diversity</i></p>	<p><b>Policies Superseded by This Policy:</b></p> <ul style="list-style-type: none"><li>• <i>none</i></li></ul> <p>Initial effective date: March 1, 2009 Review/Revision Date: Next review date: January 1, 2012</p>
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*References*

- 1- Medical Professionalism in the New Millennium: A Physician Charter. *Annals of Internal Medicine* 2002; 136: 243-6
- 2- AMA Code of Medical Ethics. <http://www.ama-assn.org/ama/pub/physician-resources/medical-ethics/ama-code-medical-ethics/principles-medical-ethics.shtml>



## Appendix A College of Medicine FACULTY PROFESSIONALISM REPORT

Faculty name (*type or print legibly*)

Department/Course

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Student submitting report (*print and sign*)

Date

*The above faculty member has demonstrated exemplary professional or unprofessional behavior (Circle all that apply)*

Professionalism Standards Encompass Three Domains:

**Individual**

1. Is consistently punctual and timely concerning all clinical and educational experiences.
2. Consistently adheres to institutional standards for dress code.
3. Maintains ethical standards expected of all medical professionals.

**Relationship with students, faculty, staff, patients and community**

1. Shows respect for patients, students, house staff, faculty and other health care professionals
2. Establishes and maintains appropriate boundaries with patients, house staff and students in all learning situations.
3. Demonstrates humanism in all interactions.
4. Respect the diversity of race, religion, culture, education, literacy, sexual orientation, age, disability and socioeconomic status.
5. Resolves conflicts in a manner that respects the dignity of all involved.
6. Uses professional language and communicates effectively with students, patients and health care team
7. Maintains sensitivity to cultural differences.

**Support of Ethical Principles**

1. Maintains honesty in all situations including patient care and educational experiences.
2. Protects patient confidentiality.
3. Creates a positive atmosphere conducive to learning.
4. Maintains trust by managing conflict of interest

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

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**Check if you are reporting:**

\_\_\_ Exemplary Professional Behavior

\_\_\_ Unprofessional Behavior or Mistreatment

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

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

\_\_\_\_\_  
Date Reported

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Dean, College of Medicine (*print and sign*)

\_\_\_\_\_  
Date

*Student notified of final outcome (to be completed by the Dean or Associate Deans)*