Standard 5 – Element 5.1-1

Evidence Submission

Professionalism

Professionalism Policies and Procedures

Professionalism is a cornerstone of the osteopathic medical profession, reflecting the values, behaviors, and responsibilities expected of a competent and compassionate physician. At DYU-COM, we are committed to fostering a learning environment that promotes ethical conduct, integrity, respect, and accountability. These professionalism policies and procedures are designed to guide students, faculty, and staff in upholding the highest standards of behavior both within the educational setting and in clinical practice.

Code of Professional Conduct

As an introductory statement, the table below provides a list of various tenets of professionalism in contrast to various forms of inappropriate behavior. This is not an exhaustive list, but there are clear examples of behaviors that are promoted and prohibited by all faculty, staff, and students.

Tenets of Professionalism	Examples of Inappropriate Behavior
▪ Altruism ▪ Compassion ▪ Accountability ▪ Social Responsibility ▪ Integrity ▪ Respect ▪ Cultural Humility ▪ Kindness	▪ Dishonesty ▪ Abusive Behavior and Harassment ▪ Disruptive Behavior ▪ Illegal Behavior ▪ Failure to disclose arrests 48 hours ▪ Willful patient harm or neglect ▪ Violation of Confidentiality ▪ Racism ▪ Gender Discrimination ▪ Trespassing ▪ Stealing ▪ Inappropriate Sexual Behaviors ▪ Sexual Harassment

The Code of Professional Conduct also includes exposure to aspects of patient safety, cultural competence, and interprofessional collaborative practice. Faculty and staff who violate the Code of Professional Conduct will be subject to action by the administration through processes described herein and overseen by the Deans Council of DYU-COM. Students who violate the Code of Professional Conduct will be subject to action through the Student Progress & Professionalism Committee (SPPC).

Student Progress & Professionalism Committee (SPPC)

The SPPC, in conjunction with the Office of the Dean, monitors the academic progress achieved by students throughout the academic program. Additionally, the SPPC is responsible for the review of situations where students are involved in academic misconduct (i.e., cheating or plagiarism) or unprofessional conduct.

The chair, vice-chair, and the committee members of the Student Progress & Professionalism Committee will be assigned by the Dean of DYU-COM. The committee chair, with the approval of the Dean, may invite non-voting members to attend. As this is not considered a legal hearing and is instead an academic proceeding, attorneys or other representatives are not recommended.

Any DYU-COM faculty or staff providing health services, via a therapeutic relationship, must recuse him/herself from the SPPC if a student who is receiving these services is to be discussed by the committee. The employee must not be involved in any discussion or decision made by the committee. The employees must also recuse themselves from the assessment or promotion of the said student.

Procedures for Calling and Conducting an SPPC Meeting

SPPC meetings are held at the end of each semester or as needed as determined by the Chair. Additionally, the Chair can call for a SPPC hearing and serve as the Chair of the SPPC if a student has:

- Attempted and failed to remediate a course resulting in an “F”
- Failed to pass any courses while on Academic Probation
- Failed any clinical rotations
- Failed an end-of-rotation exam twice
- Experienced repeated failures in the end-of-year testing exams
- Suspicion of any violation of the Honor Code after preliminary procedures occurred
- Failed to pass the COMSAE / Equivalent Exam
- Failed to pass an appropriate COMLEX-USA in the time frame required
- Demonstrated inability to make academic progress by any other academic measures the faculty and/or administration have approved or for remediation programs

including an altered degree plan, remediation courses assigned on or off campus, and/or other directed DYU-COM curriculum.

SPPC Procedures for Academic Performance Matters

Each student reviewed by the SPPC is given the opportunity to make a maximum ten-minute presentation of any issues or considerations that they wish to make known to the SPPC. Members of the SPPC may then direct questions to the student. This is the only portion of the meeting at which the student may be physically present. For students deemed to not be making academic progress, following deliberations the SPPC may make recommendations including but not limited to the following for final action by the Dean:

- Award of a satisfactory grade (70%) and promotion to the next semester following satisfactory remediation.
- Require remediation, further coursework, or a repeat of a course.
- Referral to the SSP with satisfactory progress
- Require one or more additional clinical rotations with satisfactory performance. Place, not place, or extend the student's term on academic probation.
- Require more frequent meetings with faculty advisors with those students on academic probation.
- Specify a timeline or manner in which any remediation must occur.
- Make a determination for dismissal or a repeat of the academic year.
- Request further assessment prior to making sure the student has the ability to make satisfactory progress to become an osteopathic physician including but not limited to psychological evaluations, drug or alcohol screening/testing, or other evaluations. *Such testing is at the student's expense.*
- Suspend with reinstatement pending satisfactory performance.
- Suspend with reinstatement decisions pending further evaluation and treatment.
- Repeat of multiple courses in which the student initially earned an F grade.
- A repeat of an entire academic year.
- Assign a Modified Course of Study that may delay promotion until satisfactory progress through a directed remediation program has occurred, or dismissal.
- The SPPC may recommend dismissal of a student when the student demonstrates that he/she is unable to make academic progress through:
    - Three course or rotation failures in one academic year.
    - An "F" grade on a modified course of study.
    - Four cumulative courses or rotations across all four years.
    - Failure of two or more clinical rotations in one academic year.
    - Failure to pass any courses while on Academic Probation.

- Failure and cumulative evidence that demonstrates the student is not gaining the appropriate knowledge and/or qualifications to become an physician.
- Any other issues deemed relevant.

The SPPC chair notifies the student of the outcome of the SPPC meeting and any sanctions if applicable. Upon notification, the student may appeal the decision in writing to the Dean within seven (7) calendar days of notification. The appeal should be based on new and relevant information. The Dean normally replies within fourteen (14) working days of receiving the written appeal. If the student does not appeal within seven (7) calendar days of notification, the SPPC recommendation is to be final.

The Dean does not meet with the student prior to receiving the written appeal material. In the case of an appeal, the student may appeal to the Dean based only upon new and meaningful information not available to the SPPC. The Dean's decision is final.

SPPC Procedures for Non-academic Matters

Charges of misconduct may arise from a student (or group of students), professor, adjunct professor,-preceptor, staff, administrators, or any entity or persons related to the proposed COM. Students can communicate via email or in person with the SPPC, the Associate Dean for Pre-Clinical Medical Education, or the Associate Dean for Clinical Medical Education. Their privacy will be strictly maintained. Students can also file reports anonymously through maxient. Within three (3) days of the alleged misconduct or discovery of alleged misconduct, the accuser(s) should discuss the situation with the SPPC. Dated and detailed notes should be taken to describe the discussion. Every effort should be made to maintain confidentiality in these discussions. All instances of suspected misconduct by a student must initially be reported through the Assistant Dean of Student Affairs. They in turn notify the appropriate Associate Dean of the suspected misconduct. The DYU-COM Dean is advised and constitutes an ad hoc committee to investigate the charges.

The ad hoc committee investigates the charges and reports back to the DYU-COM Dean in a timely manner. Whenever possible, the investigation should include a personal interview with the student(s), witnesses, and others, as necessary. If the student(s) admits to the charges, the Dean may either render adjudication directly or refer the case to the SPPC for resolution. If the student(s) does not admit to the charges, the case is referred to the SPPC for review.

The administrative assistant of the SPPC notifies the accused student(s) and schedules a hearing with the Committee. This hearing typically is held within ten (10) days of the referral of the case to the Committee. The findings of the investigation are presented by the ad hoc committee to the SPPC at the hearing. The accused student(s) meets with the SPPC and is informed of the allegations and afforded an opportunity to defend him/herself. Although the

hearing's purpose is fact-finding, the accused student(s) have the right to solicit advice and to offer witnesses to support his/her position.

All sessions of the Committee are closed to all individuals except those immediately concerned in the case**.** Legal representation is not recommended for the accused student(s), as this is not a legal proceeding. All persons present at the proceedings are bound to disclose no more than the Committee does in its official report on the case. The testimony of each witness is given independently while the other witnesses in the case are out of the room.

The Committee may allow the introduction of evidence other than the testimony of witnesses provided that the evidence is relevant to the question before the Committee on any matter. The Committee sets rules for the conduct of all cases and all arrangements connected with taking evidence. Timeframes for investigation of hearings and proceedings may be altered if circumstances warrant. Deliberation of the Committee takes place in private and remains confidential. Voting on decisions of whether misconduct has occurred is by secret ballot and determined by a simple majority.

If the Committee determines that the student was in violation, it considers and renders an appropriate sanction including but not limited to:

- **Admonition:** This consists of a verbal or written warning. Admonitions do not become a part of the student's longitudinal record and may not be reviewed or appealed by the student.

- **Academic Sanctions:** Writing a paper, reduction of grade on an examination, assignment, or course; repetition of a course(s); being assigned additional clinic or laboratory activities or coursework; repeating of an exam, coursework, or even an entire academic year or semester or other appropriate penalties.

- **Conduct Probation:** A penalty levied for a specific time, the duration of which is determined by the seriousness of the circumstances. It carries with it a warning that any further violations of DYU-COM regulations result in more serious disciplinary action. Conduct probation is removed from the student's longitudinal record in the Office of Student Services.

- **Disciplinary Probation:** A penalty for a definite period determined by the circumstances of the case. This is the most severe penalty under which a student may remain at the COM. Disciplinary Probation may result in a warning that further violations may be cause for disciplinary suspension or expulsion. A record of the disciplinary probation remains a part of the student's longitudinal record in the Office of Student Services.

- **Suspension:** This penalty may be imposed for continued and/or flagrant violation of the disciplinary probation terms, or it may be imposed directly in first offense cases that warrant such action. In the case of suspension, the student is barred from all campus and non-campus activities.

- **Withdrawal:** Withdrawal is the administrative removal of a student from a class or from DYU-COM and may be imposed in instances of unmet financial obligation to the COM. The withdrawn student may also be barred from re-enrollment until such time as specific conditions have been met.

- **Dismissal:** Dismissal is a permanent severance from DYU-COM. Whenever disciplinary actions lead to the student leaving DYU-COM grades are assigned in accordance with the DYU-COM grading policy.

- **Revocation of Degree:** The revocation of degree may occur for discovered misconduct of prior students. Allegations of misconduct, which may result in a revocation of a granted degree, are considered by the Dean.

Special Meetings of the SPPC

An Assistant or Associate Dean may call a meeting of the SPPC to determine the placement of a student who has taken an approved extended leave or has been on suspension to determine where the student picks up in the curriculum and to determine if any additional curriculum is needed.

Professionalism Issues with Staff or Faculty

Any recommendations regarding faculty or staff's behaviors are forwarded to the Dean's Council for action. DYU-COM faculty and staff adhere to the AOA code of ethics shown in **Standard 1.4-3E**. For professionalism issues concerning faculty, the committee involved is the **Academic Appointment and Promotions Committee (AAPC).** This charge will be taken seriously by the AAPC and meetings will be conducted to ascertain if there is misconduct. The concerned faculty will not be allowed in these meetings, even if they are on the committee. If misconduct is proved, the AAPC will make recommendations of admonition, remediation, or warning leading up to termination if not remedied, or is a repeat offense. The recommendation of the AAPC is forwarded to the Dean for appropriate action. Staff professionalism will be handled by DYU Human Resources in conjunction with the Associate Deans or the AAPC as relevant. If misconduct is proved, admonition, remediation, or warning leading u to termination will be implemented. The proposed DYU-COM will enforce professional and appropriate behavior by all its entities and persons related to the COM.

Rewarding Professionalism

Students who demonstrate exceptional and outstanding professionalism throughout medical school will be rewarded with a special accommodation in the Dean's Letter. This would be beneficial for the student's future training as a resident. Every semester professionalism will be accessed by instructors and staff and graded at the end of the semester with a pass/fail grade. Professionalism is one of the major competencies of the programmatic learning outcomes and the school will train the students in professionalism very seriously.