

# Procedures for Handling Breaches of Professionalism

*Under Review with Faculty Council*

<b>Procedure Title</b>	UCSF SOD Procedures for Handling Breaches of Professionalism
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## SOD Procedures for Handling Breaches of Professionalism

### Definition

Professionalism is considered a core competency by the UCSF School of Dentistry. Breaches in academic professionalism are differentiated from instances of student misconduct. Any breach of academic professionalism will be addressed via the process outlined in the SOD Student Handbook's Professionalism Competency section.

Issues of student misconduct that do not qualify as breaches in academic professionalism (e.g., cheating, plagiarism, forgery, theft, lewd conduct) and violations of any of the policies outlined in [Policies Applying to Campus Activities, Organizations and Students \(PACAOS\) 102.00 – 102.25](#) may result in the initiation of student conduct procedures.

### Implementation

Breaches of professionalism standards that occur in courses or clinics will be handled as follows:

A Course Director, Clinic Director, Clinical Coach or Residency Program Director (referred to as Director/Coach in this document) who is concerned about a learner's professional behavior will do the following:

1. Give feedback to the learner and make suggestions for improvement, making reference to SOD expectations for professionalism and specific course outcomes related to professionalism.
2. Review the Professionalism Evaluation Report form and discuss the specific incident(s) or issue(s) which prompted the discussion.
3. Ask the learner if there are outside factors which may be involved in the incident(s) or issue(s).
4. Determination of whether the incident(s) or issue(s) is:

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**Commented [WD1]:** Curious what the Handbook says on this topic. We should make sure that either this section or the Handbook describe that deficiencies in performance could lead to dismissal in accordance with the Bylaws, Regulations and Appendices of the University of California, San Francisco Division of the Academic Senate, specifically, Appendix VII

**Commented [APD2R1]:** The SOD regulations, Section 6 and 7 will be updated after accreditation to align with the new policies and address outdated information. The Professionalism Competency page will be developed after this policy and procedure are approved. The deficiencies will be developed with the assistance of the Ethics Committee and will be forwarded for FC review and input.

Note: Follow up with Darnele on how specific to get.

- a) A **development opportunity** - a minor professionalism issue that can be discussed/reflected upon and identified as an area for future growth and development. No further action is necessary, other than sending Part I of the PER to the Associate Dean for Education and Student Affairs for inclusion in the learner's personal file.
  - b) Of **moderate concern** - a serious incident, issue, or pattern of repeated professionalism issues which, once addressed, will require follow-up assessment to ensure that improvements are made. (PER and Action Plan required)
  - c) A **serious concern\***, risk, or safety issue which may require immediate removal from the environment. (PER and Action Plan required)
5. Work with the learner to identify resources available on campus and discusses professionalism expectations and behaviors.
  6. Maintain written documentation resulting from meetings with the learner. All communication regarding a student's progress is confidential and should not be shared with anyone outside of this professionalism process, except where otherwise permitted at law.

\*Note: In the event of serious concern (i.e. immediate removal from the environment, harm to self or others) the faculty member must immediately notify the [Associate Dean for Clinical Affairs](#), Department Chair, and the [Associate Dean for Education and Student Affairs](#), who will determine the next course of action. Additionally, Associate Dean for Education and Student Affairs may report the incident to one or more campus partners including, but not limited to, Student Health and Counseling, Risk Management, Student Disability Services, Disability Management, and/or the Office for the Prevention of Harassment and Discrimination.

The course of action will be documented in writing and the learner may be expected to enter into a Return to Study Agreement which will outline the conditions upon which they may return. In some cases, SOD may require a fitness for duty evaluation in order for the learner to return.

To ensure that the learner is actively involved, the learner:

- meets with the Director/Coach regarding the professionalism concerns raised, the required remediation, and to discuss their viewpoint.
- has the opportunity to develop the Professional Action Plan with the Director/Coach and respond in writing on the PER form.
- signs the PER form acknowledging receipt of the PER, not the learner's agreement with the PER.
- may also meet with the Associate Dean for Education and Student Affairs depending on the incident or issue.

Staff members who have concerns regarding a learner's professionalism should report the incident to their supervisor or the department chair, who will initiate the PER process.

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**Commented [WD3]:** You might have to engage financial aid, my office or others so better to leave this as an un-exhaustive list

You should also consider adding some language that before returning to the environment a learner may be expected to enter into a return to \_\_\_ agreement outlining the conditions upon which they may return.

You want to set the stage to set conditions here and even ask for a fitness for duty evaluation, if appropriate. The more notice you can provide up front about expectations here the better.

**Commented [APD4R3]:** Good idea. I will develop some a template for this although I imagine this will be a rare event.

The relevant Student Status Committee or Postdoctoral Department Student Review Committee will be notified of un-remediated professionalism issues at its regular quarterly review and Global Assessment meetings.

If a learner receives multiple PERs within one single-quarter or multi-quarter course, the learner could receive a non-passing grade (NP) for that course due to this pattern of unprofessional behavior. This may be done at the discretion of the Course Director, even if the learner has passed all other academic or technical components of the course.

Institutional professionalism refers to conduct outside the classroom or clinic across the UCSF Campus as defined in the [Policies Applying to Campus Activities, Organizations and Students \(PACAOS\) 102.00 – 102.25](#) and may result in the initiation of student conduct procedures. A learner may receive a PER for unprofessional behavior that occurs outside the SOD department or clinic, such as inappropriate behavior with members of other schools or departments. As such, institutional personnel may submit a PER to the Dean (or Dean's designee). The Dean or Dean's designee will meet with the learner to discuss the incident and define a remediation process, if appropriate.

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**PROFESSIONALISM ACTION PLAN (Procedures)**

The Professionalism Action Plan is designed to be a tool for learners and faculty to develop together to address specific professionalism concerns. The plan is designed to assist in outlining specific action steps and determining a clearly defined timeline for achieving these steps. Working together, the School of Dentistry is confident that Learners can improve professional behaviors that may be limiting them from progressing in their academic and clinical studies.

Evaluation Report (PER) Form and have a discussion with the learner regarding the professionalism concern(s). During the discussion, the Course Director, Clinic Director, Clinical Coach or Residency Program Director will:

1. Review Professionalism Evaluation Report Form and discuss the specific incident(s) or issue(s) which prompted the discussion.
2. Ask the learner if there are outside factors which may be involved in the incident(s) or issue(s).
3. Determine whether the incident(s) or issue(s) is:
  - a. A development opportunity; a minor professionalism issue that can be discussed/reflected upon and identified as an area for future growth and development. No further action is necessary, other than sending Part I and Part II of the PER to the Associate Dean for Education and Student Affairs for inclusion in the learner's personal file.
  - b. Of moderate concern; this is a serious incident/issue or pattern of repeated professionalism issues which, once addressed, will require follow-up assessment to ensure that improvements are made. (PER and Action Plan required)
  - c. A serious concern/risk/safety issue (PER and Action Plan required).  
Note: In the event of serious concern (i.e. immediate removal from the environment, harm to self or others) the person initiating the PER must immediately notify the [Associate Dean for Clinical Affairs](#), Department Chair, and the [Associate Dean for Education and Student Affairs](#), who will determine the next course of action. Additionally, [Associate Dean for Education and Student Affairs may report the incident to](#) one or more of the following campus partners: Student Health and Counseling, Risk Management, Student Disability Services, Disability Management, and/or the Office for the Prevention of Harassment and Discrimination.
4. As part of this discussion, the course/clinic director, program director, faculty member, or clinical coach works with the learner to identify resources available on campus and discuss professionalism expectations and behaviors.
5. The course/clinic director, program director, faculty member, or clinical coach should maintain written documentation resulting from meetings with the learner. All

communication regarding a student's progress is confidential and should not be shared with anyone outside of this professionalism process unless otherwise permitted or required by law.

**If the Learner continues to struggle with the issue(s) and/or it becomes a moderate or serious concern, then the Learner works with the course/clinic director, faculty member, or clinical coach to develop a formal Professionalism Action Plan (3b and 3c above).**

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**PROFESSIONALISM ACTION PLAN FORM**

Type or print all entries.

Learner Name	Course (Name and Course No.)
Course/Clinic Director, Program Director, Faculty Member, or Clinical Coach Name: Title:	Quarter, Year
Course/Clinic Director, Clinical Coach, Residency Program Director, Department Chair Name and Signature (Required) _____ Date:	Date Discussed with Learner

**Note: All communication regarding a student's progress is confidential and should not be shared with anyone outside of this professionalism process unless otherwise permitted/required by law.**

**Initial Meeting Date:** \_\_\_\_\_  
**Concerning Incident(s) or Issue(s)**

**Action(s) to be Taken to Improve Professional Incident(s) or Issue(s)**


\_\_\_\_\_  
Learner  
Signature & Date

Course/Clinic Director, Program Director,  
Faculty Member, or Clinical Coach  
Signature & Date

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**Follow Up Meeting Date:** \_\_\_\_\_  
**Examples/Documentation of Improvement**


\_\_\_\_\_  
Learner  
Signature & Date

Course/Clinic Director, Program Director,  
Faculty Member, or Clinical Coach  
Signature & Date

**Send report and any supporting documentation to the Associate Dean for Education and Student Affairs. This report will be reviewed and monitored by the Student Status Committee as part of the Global Assessment of student progress. A copy will be placed in the Learner's file.**

**Commented [APD5]:** Add dean's email

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**PROFESSIONALISM EVALUATION FORM**

**Part I**

Type or print all entries.

Learner Name	Course (Name and Course No.)
Course/Clinic Director, Program Director, Faculty Member, or Clinical Coach Name: Title:	Quarter, Year
Course/Clinic Director, Clinical Coach, Residency Program Director, Department Chair Name and Signature (Required) Date:	Date Discussed with Learner

**Note: All communication regarding a student's progress is confidential and should not be shared with anyone outside of this professionalism process unless otherwise permitted/required by law.**

The Professionalism Evaluation (PER) process is initiated when a learner is considered to have not demonstrated the professional and personal attributes as defined in the [UCSF School of Dentistry's Student Handbook, Policies and Procedures: Statement of Professional Behavior](#) that are considered essential to being a dentist/dental specialist. Please check one of the following and follow the action instructions provided.

**Part II**

1) **A development opportunity (Page 1 of PER Form)**

This is a minor professionalism issue that can be discussed/self-assessed, and identified as an area for future growth and development.

**Action:** Complete the first page of this form and the send to [Associate Dean for Education and Student Affairs](#). Form will be filed in learner's record.

**To be completed by Course/Clinic Director, Program Director, Faculty, or Clinical Coach: Please provide opportunities for development to discuss with Learner below.**

Description of the professionalism issue(s) or incidents:

Learning, Development, Growth Opportunities and expected outcomes:

### **Part III**

**2) Of moderate concern (Complete Part I, III and IV of PER Form and Action Plan required).**

This is a serious professionalism incident/issue or a pattern of repeated professionalism issues which, once addressed, will require follow-up assessment to ensure that improvements are made.

**Action:** Complete part I, III and IV of this form and a [Professionalism Action Plan](#). Send copies of PER and Action Plan to [Associate Dean for Education and Student Affairs](#). Forms will be filed in learner's record and submitted to relevant Student Status Committee for Global Assessment review.

**3) A serious concern/risk/safety issue (Complete Part I, III and IV of PER Form and Action Plan required).**

This is a serious professionalism incident/issue or a pattern of repeated professionalism issues that requires immediate attention.

**Action:** In the event of serious concern (e.g., necessitating immediate removal from the environment, consideration of harm to self or others) the faculty member must immediately notify the [Associate Dean for Clinical Affairs](#), Department Chair, and the [Associate Dean for Education and Student Affairs](#), who will determine the next course of action. Additionally, [Associate Dean for Education and Student Affairs may report the incident to one or more campus partners](#), including but not limited to: Student Health and Counseling, Risk Management, Student Disability Services, Disability Management, and/or the Office for the Prevention of Harassment and Discrimination.

In addition to the above, complete part I, III and IV of this form and a [Professionalism Action Plan](#). Send copies of PER and Action Plan to [Associate Dean for Education and Student Affairs](#). Forms will be filed in learner's record and reviewed by the relevant Student Status Committee for Global Assessment.

### **Part IV**

**Please refer to the [SOD Statement of Professional Behavior](#) when completing the following section.**

**1. Unmet professional responsibility (inside and outside the University).**

Professionalism: To be competent, accountable, reliable and responsible, interacting positively and collaboratively with all colleagues, students, patients, visitors and business partners.

**Commented [WD6]:** Suggests that adherence to each of the pride values is expected for the professionalism competency to be met. I would be sure to make that clear in the statement.

**Commented [APD7R6]:** NOTE: Review this when developing with Ethics Committee and updating SOD Regs.



Comments: (Describe the specifics of the event/incident – who, what, when, where)

**2. Lack of respect toward others.**

Respect: To treat all others as you wish to be treated, being courteous and kind, acting with utmost consideration of others.

Comments: (Describe the specifics of the event/incident – who, what, when, where)

**3. Lack of integrity.**

Integrity: To be honest, trustworthy and ethical, always doing the right thing, without compromising the truth, and being fair and sincere.

Comments: (Describe the specifics of the event/incident – who, what, when, where)

**4. Lack of respect for diversity and inclusion.**

Diversity: To appreciate and celebrate differences in others, creating an environment of equity and inclusion with opportunities for everyone to reach their potential.

Comments: (Describe the specifics of the event/incident – who, what, when, where)

**5. Failure to promote and display excellence.**

Excellence: To be dedicated, motivated, innovative and confident, giving your best every day, encouraging and supporting others to excel in everything they do.

Comments: (Describe the specifics of the event/incident – who, what, when, where)

**Part V**

**This section to be completed by the Learner**

My reflections and comments are:

