

The Graduate Faculty of the Medical School hold themselves and all members of their community to the following **Standards of Conduct** as (adopted by the University Board of Regents 12 July 1996, amended 8 Dec 2006).

Act Ethically and with Integrity. Ethical conduct is a fundamental expectation for every community member. In practicing and modeling ethical conduct, community members are expected to:

- act according to the highest ethical and professional standards of conduct;
- be personally accountable for individual actions;
- fulfill obligations owed to students, advisees, and colleagues;
- conscientiously meet University responsibilities; and
- communicate ethical standards of conduct through instruction and example.

Be Fair and Respectful to Others.

The University is committed to tolerance, diversity, and respect for differences. When dealing with others, community members are expected to:

- be respectful, fair, and civil;
- speak candidly and truthfully;
- avoid all forms of harassment, illegal discrimination, threats, or violence;
- provide equal access to programs, facilities, and employment; and
- promote conflict resolution.

Manage Responsibly.

The University entrusts community members who supervise or instruct employees or students with significant responsibility. Managers, supervisors, instructors, and advisors are expected to:

- ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this Code;
- ensure compliance with applicable laws, policies, and workplace rules;
- review performance conscientiously and impartially;
- foster intellectual growth and professional development; and
- promote a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns.

Protect and Preserve University Resources.

The University is dedicated to responsible stewardship. Community members are expected to:

- use University property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate University purposes;
- prevent waste and abuse;
- promote efficient operations;
- follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- engage in appropriate accounting and monitoring.

Promote a Culture of Compliance. The University is committed to meeting legal requirements and to fostering a culture of ethics and compliance.

(a) Expectations

Community members are expected to:

- learn and follow the laws, regulations, contracts, and University policies and procedures applicable to University activities;
- be proactive to prevent and detect any compliance violations;
- report suspected violations to supervisors or other University officials; and
- ensure that reports of violations within their area of responsibility are properly resolved, including disclosure to sponsors or other state or federal authorities as appropriate.

(b) Prohibition

Community members are prohibited from retaliating against another community member for reporting a suspected compliance violation.

Preserve Academic Freedom and Meet Academic Responsibilities.

Academic freedom is essential to achieving the University's mission. Community members are expected to:

- promote academic freedom, including the freedom to discuss all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to speak or write as a public citizen without institutional restraint or discipline; and
- meet academic responsibilities, which means to seek and state the truth; to develop and maintain scholarly competence; to foster and defend intellectual honesty and freedom of inquiry and instruction; to respect those with differing views; to submit knowledge and claims to peer review; to work together to foster education of students; and to acknowledge when an individual is not speaking for the institution.

Ethically Conduct Teaching and Research.

University researchers have an ethical obligation to the University and to the larger global community as they seek knowledge and understanding.

Community members are expected to:

- propose, conduct, and report research with integrity and honesty;
- protect people and humanely treat animals involved in research or teaching;
- learn, follow, and demonstrate accountability for meeting the requirements of sponsors, regulatory bodies, and other applicable entities;
- faithfully transmit research findings;
- protect rights to individual and University intellectual property;
- ensure originality of work, provide credit for the ideas of others upon which their work is built, and be responsible for the accuracy and fairness of information published; and
- fairly assign authorship credit on the basis of an appropriate array of significant intellectual contributions, including: conception, design, and performance; analysis and interpretation; and manuscript preparation and critical editing for intellectual content

Avoid Conflicts of Interest and Commitment.

Community members have an obligation to be objective and impartial in making decisions on behalf of the University. To ensure this objectivity, community members are expected to:

- avoid actual individual or institutional conflicts of interest;
- disclose potential conflicts of interest and adhere to any management plans created to eliminate any conflicts of interest; and
- ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a community member.

Carefully Manage Public, Private, and Confidential Information.

Community members are the creators and custodians of many types of information. The public right to access and the individual's right to privacy are both governed by laws and University policies. To meet these responsibilities, community members are expected to:

- learn and follow laws and University policies and agreements regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;
- follow document preservation and retention guidelines; and
- maintain data security using electronic and physical safeguards.

Promote Health and Safety in the Workplace.

Community members have a shared responsibility to ensure a safe, secure, and healthy environment for all University students, faculty, staff, volunteers, and visitors. Community members are expected to:

- follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- maintain security, including securing University assets and facilities;
- report suspicious activities; and
- protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

DISCIPLINARY OFFENSES

Members of our Graduate Faculty community found to have committed any of the following acts of misconduct will be subject to appropriate disciplinary action under this policy:

Scholastic Dishonesty. Scholastic dishonesty would include, but is not limited to the following behaviors: fabrication, falsification, plagiarism, fraud, improper grading, favoritism, discrimination, intellectual dishonesty, sabotage, retaliation, etc.

Harm to Person. Our education, research, and training missions cannot be achieved unless we create and maintain a community that *‘is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community’* (Board of Regents Policy “Student Conduct Code” Adopted 10 July 1970, most recently amended 13 October 2017

http://regents.umn.edu/sites/regents.umn.edu/files/policies/Student_Conduct_Code.pdf)

Consequently, members of our Graduate Faculty will refrain from actions that endanger or threaten to endanger the physical and/or mental health, safety, or welfare of any member of our community. Examples of such conduct would include, but are not limited to: intimidation, threats, bullying, unduly harsh criticism, offensive language, abuse of power, assaultive behavior, etc. **Sexual Misconduct** is a specific type of harm to person that is defined in the University Administrative Policy: Sexual Harassment, Sexual Assault, Stalking and Relationship Violence (<https://policy.umn.edu/hr/sexharassassault>). This policy also requires University employees to report sexual misconduct that they learn about to the Office of Equal Opportunity and Affirmative Action.

Neglect. The Board of Regents Code of Conduct explicitly highlights the duty all members of the University community have to ‘manage responsibly’, however in agreeing to advise a doctoral or masters student, or post-doctoral trainee, members of the Graduate Faculty accept the additional responsibility to foster the academic, intellectual and professional development of their trainees. Failure to discharge this responsibility has the potential to adversely impact the professional, intellectual and personal development of these individuals, and is impermissible. Specific examples of failure in this area would include, but not be limited to the following: failure to provide accurate, timely and appropriate feedback on trainee performance, failure to provide access to resources required for trainee success, failure to provide required progress reports, to sign official UMN forms, failure to review, in a timely manner, manuscripts for publication, thesis, or other required academic milestone documents.

SECTION V. SANCTIONS.

Graduate Faculty found responsible for disciplinary offenses under this policy are subject to sanctions. Factors to consider in determining appropriate sanctions include: the nature of the offense, the severity of the offense, the culpability of the Graduate Faculty Member, the impact on other students or members of the University community, and the opportunity for Faculty development.

Warning. A Graduate Faculty member found to have violated this policy may receive a written notice of *Violation of Policy*. Such a notice is delivered to the faculty member as well as the Director of Graduate Studies of all Medical School Graduate Programs of which this individual is a member. Typically, a Graduate Faculty member will be advised on steps necessary to resolve a policy violation, and/or to avoid further violations of policy.

Required Compliance. Required compliance means satisfying Graduate Faculty obligations, participating in a restorative justice process, or other discretionary assignments.

Probation. A Graduate Faculty member found to have violated this policy may receive the sanction of *Probation* (imposed for a defined period of time). Probation notices will be accompanied by a description of the probability of additional, more severe sanctions if the individual commits further violations of this policy during the period of the probation. Graduate Faculty members placed on probation may be required to temporarily relinquish privileges including the right to advise students, and will likely be required to take action to resolve a specific policy violation or violations.

Suspension of/loss of Graduate Faculty Membership. Graduate Faculty members found to have violated this policy may be removed (temporarily or permanently) from the ranks of any Medical School Graduate Programs

of which they are members. Graduate Faculty members may further be required to take action to resolve a specific policy violation or violations.

HEARING AND APPEALS OF SANCTION

Hearing Process. Allegations that a Graduate Faculty member has violated this policy will be forwarded to the Associate Dean for Graduate Education, and if appropriate, to the Basic Science Graduate Council which would be charged with making a finding, based on a preponderance of evidence. The Graduate Faculty Member will be able to review any information that has been presented to the Associate Dean for Graduate Education (ADGE), and will be afforded the opportunity to provide any additional information that they deem relevant.

The process will progress as follows:

- (a) The Graduate Faculty member is informed of the allegation of violation of policy, and provided access to relevant information related to this allegation.
- (b) The Graduate Faculty member is invited to an informal meeting to discuss the process and to share relevant information with the ADGE. Graduate Faculty members may request the Basic Science Graduate Council select an individual from among their rank to serve in place of the ADGE, if they feel the individual in the ADGE role would not be able to impartially consider their case. In such an instance, the selection of a replacement by the Basic Science Graduate Council would not be subject to further appeal.
- (c) The ADGE (or their substitute) will offer the Graduate Faculty member an informal resolution, discussing the relevant policy or policies alleged to have been violated, and an outline of sanctions that could potentially be imposed.
- (d) In the event this informal resolution is not acceptable to the Graduate Faculty member, that individual may request for a formal hearing in which the Basic Science Graduate Council will determine responsibility and potential sanctions. (The ADGE will not participate in this process if they were party to the informal resolution process outlined above. In this case, the Council will elect a chair who will, for the purposes of this hearing, replace the ADGE as presiding officer.)
- (e) If the Graduate Faculty Member does not accept the formal resolution offered by the Basic Science Graduate Council, a request for an appeal can be made to the Vice Provost and Dean for Graduate Education.

In cases involving reports that a Graduate Faculty member engaged in sexual misconduct, the Office of Equal Opportunity and Affirmative Action or its designee will respond to the report through informal problem-solving or formal investigation to determine whether the University's sexual misconduct policy has been violated.

Sexual Harassment Statement

Sexual harassment subverts the mission of the University, and threatens the careers of students, faculty, and staff, and will not be tolerated in the Graduate Programs of the Medical School.

The 2017 [Board of Regents policy](#) defines sexual harassment as

“unwelcome conduct of a sexual nature under **either** of the following conditions:

- (a) When it is stated or implied that an individual needs to submit to, or participate in, conduct of a sexual nature in order to maintain their employment or educational standing or advance in their employment or education (quid pro quo sexual harassment).
- (b) When the conduct: (1) is severe, persistent or pervasive; and (2) unreasonably interferes with an individual's employment or educational performance or creates a work or educational environment that the individual finds, and a reasonable person would find, to be intimidating, hostile or offensive (hostile environment sexual harassment).”

Information and guidance regarding sexual harassment are available from the Office of Equal Opportunity and Affirmative Action, which is also the office that receives and responds to complaints of sexual harassment. See the current [University Policy](#) for more details.