**IUSD CODE OF PROFESSIONAL CONDUCT**

1. Preamble

The Code of Professional Conduct acknowledges the unique privileges and responsibilities of the health professions. The Code speaks to the relationship of the dentist and patient, as well as to the relationship of trust and respect among students, faculty, staff, and society in general.

1. **The Code of Professional Conduct is not intended to dictate behavior**. It does, however, establish minimum expectations, which provide a disciplinary framework for those who choose not to abide by these professional standards, and it serves to remind everyone that a procedural framework for enforcing the Code is in place. Indiana University School of Dentistry, as part of its mission of education, will expect its students to become competent dental professionals and its students, staff and faculty to maintain exemplary ethical and professional attitudes.
2. Indiana University School of Dentistry expects its students to manifest exemplary ethical and professional attitudes characteristic of competent professionals. Among these attitudes are:
3. Respect for the sanctity of human life
4. Commitment to excellence
5. Respect for the dignity of patients in the provision of health care
6. Devotion to quality care
7. Personal humility and an awareness of limitations inherent to the practice of dentistry
8. Appreciation of the role of all factors in a patient’s state of well-being or illness
9. Maturity with balanced personal and professional behavior
10. Students at IUSD should realize the importance of this professional ethic and the necessity of assuming responsibility to develop, review, and maintain these ideals for themselves, their colleagues, and for the dental profession. **The fundamental principle involved is personal responsibility for the development and maintenance of professional conduct based on the ethic espoused by the dental profession of self-effacing service to society.** Development of a professional ethic must continue for as long as students, staff, and faculty represent the dental profession. Personal responsibility for maintaining and integrating these ideals is incumbent with staff and faculty.
11. The Code of Professional Conduct
12. I shall conduct myself so as a dental professional, I will be able to promise those for whose care I am entrusted competence, integrity, candor, personal commitment to their best interests, compassion, and absolute discretion and confidentiality.
13. I shall do by my patients as I would be done by, shall obtain consultation when they desire or I believe there is a need, and shall include them to the extent possible in all important decisions.
14. I shall accept all patients in a non-judgmental manner. I shall at all times and in all places conduct myself with honor and integrity, and I shall respect the rights and dignity of all individuals. I promise to attend to my own physical, intellectual, mental, and spiritual development in the interest of best serving others.
15. I shall commit to upholding a climate of mutual respect in the school and university community when working with my colleagues (i.e. students, staff, & faculty).
16. Expectations

The following statements are examples of the School of Dentistry’s minimum expectations:

1. Respect for all individuals in the IU School of Dentistry community.

Students recognize all individuals must be treated with respect. Patients must be treated with kindness, dignity, empathy, and compassion.

1. Appropriate handling of information, records, or examinations materials.

Patients’ privacy, modesty, and confidentiality must always be honored. Patients must not be publicly identified without adequate justification or permission. Patients’ records must be accurate and legible. Providing false or misleading information is a violation of the trust placed in a dental professional and is a serious infraction of the Code of Professional Conduct.

1. Proper representation as a dental professional.

Appearance, speech, and behavior should be above reproach during patient care activities. Dress should be appropriate for professional activities, and personal hygiene should be exemplary.

1. Adherence to laws, policies, and regulations.

Students are expected to adhere to laws, policies, and regulations. Policies and regulations, including policies on sexual harassment, have been established for the benefit of the School of Dentistry’s community. Laws, policies, and regulations are not to be disregarded or violated. Individuals who feel the School’s policies, procedures, or regulations require modification are encouraged to suggest such changes using appropriate channels.

1. Respect for property and instructional material.

All property and instructional material must be respected.

1. Academic assessment.
2. Any form of cheating is a violation of the Code of Professional Conduct.
3. Administration and Implementation of the Professional Conduct Code
4. Role of Student

During orientation at the School of Dentistry, each student will be orientated to the principles and procedures of the IUSD Code of Professional Conduct. Students must signify in writing that he/she agrees to abide by the principles and procedures of the Code:

*I understand the Code of Professional Conduct System of the Indiana University School of Dentistry and agree to abide by its principles.*

1. At the beginning of each academic year, during orientation, the IUSD Code of Professional Conduct will be discussed. The Code will be distributed to all DDS Second, third, and fourth year classes. Students are expected to signify in writing that he/she agrees to abide by the principles and procedures of the Code:

*I understand the Code of Professional Conduct System of the Indiana University School of Dentistry and agree to abide by its principles.*

1. Although the Code is continually in place, students renew this pledge on each examination or at the discretion of the course or module director, faculty member or administrator by signifying in writing:

*I affirm that I have upheld the IUSD Code of Professional Conduct during this examination.*

1. Role of Faculty
2. Instructors may provide professional conduct pledges on all written exercises used in determining a student’s grade. Examinations comprised of separate sections (example: practical and written exam) should have pledges provided for each section.
3. Course directors have the ultimate responsibility for maintaining the proper environment for learning and assessment.
4. Clinical faculty has the ultimate responsibility for maintaining the proper atmosphere for patient care.
5. Faculty members have the responsibility for addressing the professional expectations relevant to their class, lab, or clinic.
6. Code Violations
7. A violation of the Code of Professional Conduct occurs when any student acts in a manner contrary to the values and responsibilities expected of those engaged in the profession of dentistry. Violations also occur when anyone jeopardizes the welfare of a patient, disregards the right or dignity of another individual, or allows or assists another in doing so. For example, students are subject to discipline under the Code if they have knowledge on an infraction of the Code but fail to report is to the appropriate authority.
8. Examples of Unacceptable Behavior are listed on page 65 of the IUSD DDS Program Handbook. **The School of Dentistry reserves the right to initiate action and impose sanctions for any conduct that is not specifically listed as unacceptable behavior but is determined to be a violation of the Code, regardless of whether the violation occurs on or off the premises of the School.**
9. Procedures for Investigating Code Violations by Students

The School of Dentistry has a responsibility to ensure a professional climate and provide equity for all parties involved in a breach of professional conduct. Therefore, the School has adopted procedures to respond to infraction of the Code can first speak with offenders about the infraction and remind them of their professional conduct. However, if the circumstances do not allow the claimant to approach the offender, and the claimant believes the alleged infraction requires further action, the allegations should be referred to the Professional Conduct Committee (PCC) by submitting a completed Report of Misconduct form (available at the Office of Admissions and Student Affairs or online).

1. Professional Conduct Committee (PCC)

The professional Conduct Committee (PCC) is charged with reviewing charges and evaluating the evidence of alleged professional/academic misconduct incidents involving students. In evaluating instances where a student(s) does not accept responsibility for a charge(s), the Committee shall make decisions based on their consideration of preponderance of the evidence provided at a hearing attended by PCC members and the alternatives. Final decisions will be forwarded to the Faculty Council (FC) Executive Committee. The FC Executive Committee will share the decision of the Dean, who will review the decision for consistency with due process. The accused will be notified by a letter from the Dean and the decision will then be reported to the Chair of the Progress Committee, Associate Dean for Academic Affairs, and the Associate Dean for Admissions and Student Affairs. The Chair of the PCC shall provide the Faculty Council with a de-identified quarterly report of the PCC actions.

1. Appeals Committee

The Appeals Committee (AC) is charged with hearing student appeals of PCC decisions concerning professional/academic conduct incidents involving students. Appeals are limited to the following grounds: (a) the discovery of new and substantial information not available at the time of the PCC hearing and which reasonably would have affected the outcome; (b) a procedural error occurred which resulted in material harm that reasonably would have affected the outcome; or (c) the sanction imposed was grossly disproportionate to the violation(s) committed.

1. Examples of Unacceptable Behavior
2. Respect for all individuals in the School of Dentistry’s community.
3. Expressing racial, sexual, sexist, or religious slurs
4. Committing racial or sexual harassment
5. Using inappropriate, offensive, or threatening language
6. Criticizing a colleague inappropriately or unprofessionally with the intention to belittle, embarrass, or humiliate
7. Requiring a colleague to perform personal services
8. Committing physical acts of violence or threats of violence
9. Manipulating clinical schedules for one’s own benefit
10. Showing lack of respect to colleagues
11. Failing to comply with a reasonable request or instruction from faculty, staff, or administrators
12. Using computer e-mail or internet in a harassing or libelous manner
13. Appropriate handling of information, records, or examination materials.

Unacceptable behavior includes, but not limited to:

1. Giving or receiving any information except as allowed by the course director or teaching faculty during the course of an exam
2. Plagiarizing, forging, or falsifying academic records, financial aid information, patient records, research, or scientific data
3. Tampering with examination material, or any dishonesty in connection with an examination
4. Abusing computerized information or technology
5. Respect for patient’s confidentiality and safety.

Unacceptable behavior includes, but is not limited to:

1. Failing to ask for assistance from appropriate faculty or staff when needed
2. Writing offensive or judgmental comments in the patient’s chart
3. Sharing medical or personal details of a patient with anyone other than health professionals involved in the patient’s care
4. Engaging in discussion about a patient in public areas
5. Proper representation as a dental professional.

Unacceptable behavior includes, but is not limited to:

1. Misrepresenting oneself as a licensed professional rather than a student of dental hygiene
2. Exhibiting personal appearance that gives the impression of uncleanness or carelessness
3. Failing to maintain professional composure during stressful circumstances
4. Engaging in an appropriate relationship with patients or their family members
5. Respect for laws, policies, and regulations (on or off campus at all times).

Unacceptable behavior includes, but is not limited to:

1. Disobeying federal, state, or local laws and ordinances
2. Disregarding or acting contrary to institutional regulations and policies
3. Refusing to provide information or testify in Professional Conduct system proceedings
4. Respect for property and instructional material.

Unacceptable behavior includes, but is not limited to:

1. Treating cadavers and body parts in a disrespectful manner
2. Treating animals used for instruction in an insensitive or disrespectful manner
3. Defacing or destroying other instructional materials, including software
4. Defacing or destroying university or personal property, or any written material other than one’s own
5. Removing information, mail, or property from mailboxes or lockers that are not one’s own
6. Falsifying or defacing transcripts, evaluation forms, or other official documents
7. Case Procedures
8. General Principles
9. The following case procedures establish the adjudication process as a learning experience that can result in growth and understanding of one’s rights and responsibilities within the School of Dentistry. An example of the process is outlined in the flow chart attached to this document. The procedure for imposing sanctions is designed to provide students with due process, procedural fairness and equal protection.
10. All notices specified in the procedures will be made in writing which may include electronic mail. Whenever notice is required to be given to a student under these procedures, it will be presumed that the student has been given notice if it was sent to the student’s official University email or mailed to the address appearing on either the student’s current local address or permanent address on record in the IU system.
11. Definitions
12. All references to a “business” day include any day, Monday through Friday, in which the university offices are open.
13. The term “Investigator” means a faculty member designated to investigate alleged conduct violations. If the Investigator is unavailable to perform this duty, a trained faculty member will be authorized to serve as the Investigator. In the event that the trained Investigator is unavailable, a substitute faculty member will be appointed by the Executive Committee of the Faculty Council. [Source: EC and PCC 5/9/2015]
14. The term “sanction” refers to the discipline outcome imposed against a student for engaging in academic or personal misconduct in violation of this Code.
15. The term “Accused Student” means any student accuse accused of violating the Code.
16. Report of Misconduct
17. Any person who witnesses professional misconduct is encouraged to submit a Professional Conduct Reporting Form (PCRF). A Reporting Form must be utilized for each case. The completed Reporting Form must be submitted to the Assistant Dean of the Office of Admissions and Student Affairs (OASA) within 10 business days following the discovery of the alleged violation except in extraordinary cases.
18. Upon receipt of the PCRF, the Assistant Dean of OASA will review the report to determine:
    1. the timeliness of the report
    2. whether the report has merit; and
    3. whether to give notice to other University, Campus, or School offices based on allegations involving violations of law or as required by law or University policy.
19. No later than three (3) business days of receipt of the PCRF unless there are extenuating circumstances, the Assistant Dean or AOSA will send:
20. an acknowledgement of receipt to the reporting individual;
21. a copy of the PCRF to the Chair of the PCC; and,
22. a written Notice Letter to the Accused Student (via University email account) outlining:
23. the violations alleged
24. the intent to investigate
25. summary of the adjudication process
26. the timeframe if a hearing is indicated
27. the opportunity to appeal the decision(s)
28. Investigation
29. It is the policy of IUSD to use an independent faculty investigator to review all allegations of student professional conduct violations. The Faculty investigator will serve for one academic year (July 1-June 30) and may be reappointed for additional one year terms. In the event an investigation extends beyond the appointee’s end date of service, the investigator will complete the review prior to relinquishing this position. The Dean will recommend the name of a faculty investigator and this recommendation will be reviewed and approved by the Faculty Executive Committee prior to June 1st of each year. Preference will be given to experienced members of the faculty with a good working knowledge of the Professional Conduct Committee. The Investigator may not concurrently hold membership on either the Professional Conduct Committee or any academic Progress Committee. In the event the Investigator is directly involved in making an allegation and has a Conflict of Interest, the Faculty Executive Committee will appoint an interim Investigator to conduct the investigation. [Approved by PCC Committee 6/16/17]
30. The Investigator has ten (10) business days or more if reasonably necessary from the date of the receipt of the PCRF to OASA to complete an investigation of the allegations. The investigation is to examine the compliant, interview the involved persons, and identify the circumstances of the incident. The investigation should include: separate interviews with each reporting student(s), faculty (if any) and witness(es), (if any); collection of pertinent documentation; and an informal, non-adversarial interview with the Accused Student. All contacts should be carefully documented. The Investigator is to remain an impartial fact-finder throughout the entire process. Should the findings of the investigation clearly indicate that no violation occurred, the Investigator will confer with the Chair of the PCC for verification of the findings and the case will be closed upon notifications of the Associate Dean of OASA.
31. The Accused Student’s failure to schedule and/or keep a requested appointment will not preclude continuation of the disciplinary process. Should the Investigator require additional time for investigation, the Accused Student will be provided written notice of the need for an extended time for investigation and the Associate Dean of OASA be notified.
32. Chare and Adjudication Procedures
33. If the Accused Student does not wish to accept responsibility for the charges placed by the Investigator, then the case will go to a hearing before the PCC. With direction from the Chair of the PCC, the Office of Admissions and Student Affairs schedules a meeting to be held within twenty (20) business days, if practicable, from the date of the receipt of the PCRF to OASA. Members of the PCC will be free from conflicts of interest that reasonably would appear to impair their ability to evaluate the misconduct matter in a fair and impartial manner. For example, a PCC member directly involved as a witness or course director in the reported incident should recuse him/herself as an alternate member of the PCC will serve as a voting member in all capacities involving the incident.
34. The Investigator will submit a Statement of Charges, should the investigations warrant it, to the Accused Student and the Associate Dean of OASA at least ten (10) business days prior to the scheduled PCC Hearing unless the Accused Student accepts responsibility. In the event of a hearing, the student may submit, in writing, a reasonable request to waive the 10-day notice and schedule the hearing earlier, if practicable. OASA will arrange a hearing location and schedule the accused, accuser(s) and any witnesses called by the Investigator. The accused may notify their own witnesses regarding the time and place of the hearing provided their witness names and contact information are provided to the Associate Dean of OASA at least three (3) days prior to the hearing. [Source: PCC/IUPUI Conduct Process 5/5/15]

The Statement of Charges will provide the Accused Student with:

1. timeframe and information about a PCC hearing; if one is indicated
2. written notice of the final charges;
3. options to resolve the charges under the discipline procedures;
4. the procedures to be followed in the PCC hearing process; and
5. resources for assistance in preparing for the PCC hearing.
6. In circumstances where an accused student is nearing graduation, the accused student may be offered a prompt review of the case, thereby waiving the 10-business day notice of hearing requirement. An Accused Student may refuse a proposal for prompt review. [Source: PCC/IUPUI Conduct Process 5/5/15]
7. An Accused Student with one or more charges placed upon them for allegations of misconduct has the right to a formal hearing before the PCC. However, in cases when the Accused Student has notified the Associate Dean of OASA prior to the scheduled PCC hearing that he/she wishes to accept responsibility for all charges in the case, the Accused Student may waive the right to a formal in-person hearing and related procedural guarantees and receive a sanction issued by the PCC. In such situations, the student also waives the right to appeal a finding or PCC sanction except on the grounds that the sanction imposed is grossly disproportionate to the violation(s) committed.
8. The accused has the following rights and responsibilities for preparing information for the PCC hearing:
9. The accused and the accuser(s) may provide witnesses at the hearing provided the witnesses names are submitted to the Associate Dean of OASA at least three (3) business days prior to the date of the hearing.
10. Witnesses will be at the hearing only during the time they testify and answer questions.
11. The PCC may invite an advisor who may remain during the entire hearing.
12. Any statements or evidence that the accused and the accuser(s) may present must be provided to the Associate Dean of OASA at least three (3) business days prior to the date of the hearing.
13. The accused and the accuser(s) may be precluded from presenting witnesses or evidence at the hearing if the information has not been provided within the stated time limits.
14. The accused and the accuser(s) may be accompanied by an advisor. However, the advisor is not allowed to address any other participants involved in the process.
15. The accused and the accuser will have an opportunity during the hearing to address the

PCC regarding the alleged misconduct and the testimony and evidence provided at the hearing.

1. When two or more students are accused of collusion in an academic dishonesty accusation, each will have the opportunity to meet independently of the other(s) and the other(s) advisors and witnesses with the PCC.
2. The Chair may dismiss any participant who is demonstrating disruptive behavior during the hearing.
3. A record of the proceedings, whether written, audio, or video-recorded or any combination thereof, will be made at the hearing.
4. If the accused fails to appear at the hearing, the accused waives the right to appeal of the PCC decision as to both responsibility for the charge(s) and associated sanction(s).
5. The Investigator may present an oral report and/or written findings of the investigation.
6. The accused, the accuser(s) and the Investigator may attend the hearing during the presentation of evidence by live witnesses.
7. The accused, the accuser(s) and the Investigator may present and question witnesses, if any.
8. The accused, the accuser(s) and the Investigator may present other information, if any.
9. The burden of proving the Accused Student committed the violation(s) will be upon the University.
10. The accused’s failure to respond at the hearing will not be considered an admission of responsibility.
11. The PCC will deliberate in a closed session after the completion of the hearing. Deliberations are not recorded. [Source: PC/IUPUI Conduct Process 5/5/15] Only members of the PCC and the individuals permitted by the Chair to remain for reasonable cause will be present during the deliberations. For example, if the violation involves academic misconduct associated with a specific course, the PCC may directly consult with the faculty/course director of the pertinent course during deliberations regarding the imposition of sanctions. The PCC decision is based on a preponderance of the evidence introduced at the hearing. The decision of the PCC is made by a majority vote of the voting members during private deliberations after the close of the hearing. The PCC members review and determine whether the accused committed the violations(s) and determines the sanction(s) to be imposed, if any. Within three (3) business days of the final PCC hearing outcome, the PCC will provide a decision based on their evaluation of the evidence and forward the decision to the Faculty Executive Committee who will share the PCC decision with the Dean for the review of due process. The Dean implements the PCC final decision by sending a written Letter of Resolution to the Accused Student with a copy to the Associate Dean of OASA, the Chair of the Progress Committee and the Associate Dean for Academic Affairs. The Letter of Resolution must provide at a minimum the following:
    1. the findings and decision of the PCC;
    2. the Academic/Conduct Appeal Form; and,
    3. instructions, including the time limit, for submitting the Appeals Form.
12. Appeals Committee Process

A student has the right to appeal any decision made by the PCC involving dismissal from the program. The accused may appeal the PCC decision by submitting the Academic/Conduct Appeal Form to the Associate Dean of OASA no later than ten (10) business days after the date of the Letter of Resolution. The appeal must clearly state the **specific** grounds for appeal and must include all supporting documentation. A student is limited to one opportunity to appeal to the AC. During any period of appeal for dismissal the student may be reinstated in didactic courses but will be suspended from clinical procedures unless there is evidence that to suspend the student would put patients at risk. The decision to allow a suspended student to continue treating patients in any IUSD clinic or IUSD-affiliated clinic rests solely with the Dean of the IU School of Dentistry and the Associate Dean of Clinical Affairs. The Dean may suspend a student completely from the program during the period of appeal if there is evidence that reinstating the student in the program would place the IU School of Dentistry, its patients or its personnel in jeopardy. Under this document, authority has been given to specified School of Dentistry officials. This authority may be exercised by any person occupying the office designated, or in his/her absence, by that person’s designee.

An appeal will be received if submitted on one or more of the following grounds:

1. The discovery of new and substantial information, which was unavailable at the time of the PCC hearing but has since become available and, if had been available, reasonably would have affected the outcome.
2. A procedural error occurred which resulted in material harm that reasonably would have affected the outcome.
3. The sanction imposed is grossly disproportionate to the violation(s) committed, in light of all relevant aggravating and mitigating factors.
4. The Appeals Committee must consider the appeal within thirty (30) calendar days from the Associate Dean’s receipt of the student’s written appeal.
5. If no written Academic/Conduct Appeal Form is received by the Associate Dean of OASA within ten (10) business days following the date of the Letter of Resolution, the Associate Dean of OASA will send the following:
6. a notice letter to the Accused Student that the case is concluded, the sanctions determined by the PCC will be imposed, and the Accused Student has waived the right to further appeal of the PCC decision; and,
7. A copy of the Letter of Resolution to the Associate Dean of Academic Affairs and the Chair of the relevant Progress Committee(s).
8. If the Academic/Conduct Appeal Form is submitted within ten (10) business days of the date of the Letter of Resolution, the Associate Dean of OASA will:
9. review the Academic/Conduct Appeal Form for timeliness and completion;
10. defer the PCC findings and sanctions (if any); and,
11. Send a copy of the Academic/Conduct Appeal Form to the Chair of the Appeals Committee (AC).
12. The Chair of the Appeals Committee will convene a meeting of the members to review the appeal. The Appeals Committee may reach one or more of the following outcomes after a review of the appeal and supporting documentation, including prior disciplinary history if applicable:
13. Dismiss the appeal if the appeal is not clearly based upon one or more of the grounds set forth above.
14. Uphold the original decision and/or sanction(s) reached by the PCC.
15. Dismiss or vacate the original case, an individual charge, and/or sanction(s), or any portion of the three.
16. Modify the original sanction.
17. Remand the case back to the PCC for consideration or rehearing. A case which is to be

reheard may result in dismissal of the case, modification of the finding, or a finding and/or sanction of greater severity than the original outcome.

1. Within three (3) business days of the Appeals Committee meeting, the Committee decision is forwarded to the Dean for due process review. If the Dean has concerns, the Dean meets with the Appeals Committee to discuss the case. The Dean implements the final decision by writing a Letter of Resolution to the following recipients:
2. the Accused Student;
3. the Associate Dean of OASA;
4. the Associate Dean of Academic Affairs; and,
5. the Chair(s) of the relevant Progress Committee(s).
6. Appealing an IUSD Final Decision involving Dismissal

Students who feel that a demonstrable **procedural error** occurred during the IUSD proceedings may submit an appeal **only on those grounds**. The external appeals document is limited to the identification of a specific procedural violation. The appeal is submitted through the Associate Dean for Admissions and Student Affairs for review and simultaneous forwarding to the Vice Chancellor of Graduate Education and the student filing the appeal. The Associate Vice Chancellor of Graduate Education reviews the findings and presents the decision to the Accused Student and the Associate Dean of OASA. [Source: PCC 5/5/15]

1. **Suspension or Dismissal for Academic Misconduct or Unprofessional Behavior**
2. Suspension from classes and/or clinics at IUSD is a possible outcome of unprofessional behavior or academic misconduct. Students suspended because of professional or academic misconduct may neither graduate with honors nor receive an award at the Honors Ceremony. Student suspended for any period of time from any IUSD activities will automatically be placed on probation once they have returned to school. Multiple incidents of academic misconduct and/or unprofessional behavior by a student will constitute a pattern of unprofessionalism and indicate a student’s failure to demonstrate professional growth and therefore could be grounds for suspension or dismissal from school. The Student Professional Conduct Committee must take into consideration a student’s history of unprofessionalism while deliberating the sanctions for the violations of the IUSD Code of Professionalism Conduct. When deciding whether to promote or graduate a student with a history of unprofessionalism, the IUSD Progress Committee must discuss the student’s professional growth. The Progress Committee may take a decision for suspension from school, suspension in progress, or dismissal based upon a student’s failure to demonstrate professional growth as documented by cases brought to the professional conduct system and/or multiple low clinical grades in professionalism. Dismissal from school for unprofessional behavior or academic misconduct is a function of the School of Dentistry Faculty Council’s Progress Committee and/or PCC in consultation with the Dean with regards to due process and legality.