

UNIVERSITY OF OTTAWA, FACULTY OF MEDICINE PROFESSIONALISM POLICY

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1. PURPOSE

The purpose of this Policy is to establish and promote the Faculty's [Professionalism Standard](#) and [Core Values](#); and to outline stages of intervention to identify and address a [Professionalism Concern](#).

2. SCOPE

1. Application

This Policy applies to [Learners](#), [Faculty Members](#) and [Faculty Staff](#).

2. Alignment with University policies and procedures and applicable laws

This Policy must be applied in a manner consistent with the University's obligations under applicable laws, including but not limited to, laws related to harassment and discrimination, occupational health and safety, health care, and privacy.

A Professionalism Concern that is "sexual violence" as defined in [University Policy 67b\) – Prevention of Sexual violence](#) is to be addressed in accordance with the process outlined in University Policy 67b.

The behaviour giving rise to a [Professionalism Concern](#) might be addressed by another University policy or procedure. Therefore, the application of this Policy can depend on other relevant University policies and procedures as may be established or amended from time to time, including but not limited to the following:

Policy 66 – [Prevention of Workplace Violence](#)

Policy 67 a) [Prevention of Harassment and Discrimination](#)

[Faculty of Medicine Policy on its Interactions with Industry](#)

Policy 70 [Conflict of Interest](#)

Policy 77 - [Occupational Health and Safety](#) and the related Procedure 14-1 [Internal Responsibility for Health and Safety Issues](#)

Policy 92- [Financial Fraud](#)

Policy 115 [Breach of responsible conduct of research](#) and related procedure 29-2 [Addressing Allegations of a Breach of Responsible Conduct of Research](#)

Policy 121 – [Statement on Free Expression](#)

Policy 130 - [Student Rights and Responsible Conduct](#)

Academic fraud: [Academic integrity and academic misconduct regulation](#)

[Faculty of Medicine Social Media Policy](#)

[PGME Policy for the Appropriate Use of Social Media](#)

Matters related to bilingualism (French and English) and the University's designation under the Ontario French Language Services Act are not within the scope of this Policy, but may be covered

by other policies, namely, the University's [Regulation on Bilingualism](#), [Academic Regulation A-1 – Bilingualism](#), and the University's [language rights complaint process](#).

3. Professionalism standards of licensing and other regulatory bodies

This Policy does not replace professionalism standards established by licensing or regulatory organizations or bodies relevant to the Faculty's programs, including but not limited to the College of Physicians and Surgeons of Ontario, the Canadian Medical Association, the Ontario Medical Association, the Canadian Medical Protective Association, the Royal College of Physicians and Surgeons of Canada, the College of Family Physicians of Canada, and the Ontario College of Pharmacists.

4. Collective agreement

Where a [Respondent Learner](#), [Respondent Faculty Member](#) or [Respondent Faculty Staff](#) is a member of a bargaining unit represented by a union and the collective agreement relevant to them has provisions relating to the behaviour giving rise to the [Professionalism Concern](#) including a process to intervene, investigate and address it, such collective agreement provisions will apply rather than this Policy unless the relevant union and the University have agreed otherwise in writing to address the Professionalism Concern in accordance with this Policy.

3. DEFINITIONS

For the purposes of this Policy, the capitalized words and expressions are defined in [Appendix A](#) attached to this Policy.

4. RECOGNITION AND COMMITMENT

The Faculty recognizes the following:

- Professionalism is taught, role modelled and evaluated; and
- a [Professionalism Concern](#) can disrupt and affect the proper functioning of the [Learning or Work Environment](#) and the quality of healthcare, education and research;
- a Learner, Faculty Member or Faculty Staff involved in a [Professionalism Concern](#) may require different services, resources, and supports at different times throughout the process of addressing a Professionalism Concern.

The Faculty is committed to:

- Maintaining a professional and respectful [Learning or Work Environment](#);
- Maintaining regular communication with the [Instructional Sites](#) to identify factors - positive and negative – that influence adherence to the [Professionalism Standard](#) and [Core Values](#) within the [Learning or Work Environment](#);
- Supporting [Learners](#) in cultivating professionalism and preparing for their future roles as

- physicians, pharmacists, professors, researchers or other professionals;
- Emphasizing to [Faculty Members](#) and [Faculty Staff](#) the importance of role modeling exemplary professionalism in fulfilling their University responsibilities;
- Provide training on how to address a [Professionalism Concern](#) along with information on available mechanisms and resources to resolve recurring Professionalism Concerns;
- Offering reasonable support services to those involved in a [Professionalism Concern](#), which may include academic or workplace accommodations, referrals to wellness, counseling or to health care or on-campus safety planning services.

The Faculty is committed to collecting and maintaining information relevant to identified [Professionalism Concerns](#) reported to the Faculty, including tracking of number, nature, mode of action and outcome. The information will identify positive and negative influences to allow the Faculty to develop strategies for mitigating bias, improving and regaining the proper functioning in the [Learning or Work Environment](#). The information will be treated in accordance with applicable privacy legislation and [University Policy 90 -Access to Information and Protection of Privacy and its related Procedures](#).

5. PROFESSIONALISM STANDARD AND CORE VALUES

The Professionalism Standard required of all [Faculty Members](#), [Learners](#) and [Faculty Staff](#), as a condition of maintaining their respective academic appointment, employment or registration in an academic program, is to observe and adhere to the following 11 fundamental Core Values (the list of examples of attributes and behaviours for each Core Value is non-exhaustive):

Core Value	Examples
Respect	<ul style="list-style-type: none"> • Show consideration for others and their rights and choices; • Avoid behaviour that is deliberately harmful, degrading, insulting, or unjustly discredits the reputation of others; • Recognize diversity, different viewpoints; • Respect privacy, physical space and belongings of others; • Retain professional boundaries; • Consider impact of communication on social media – follow Faculty policy on social media and social media guidelines applicable to the Instructional Site; • Allow respectful expression of disagreement without fear of punishment, reprisals or retribution; • Work effectively and respectfully with others in a collegial, safe and supportive atmosphere conducive to learning and dispute resolution rather than confrontation; • Be present and punctual for activities of the learning experience and patient care; notify others in advance, when possible, of absence or delay; • Follow Faculty regulations, policies/procedures, respect deadlines; • Treat patients and their families with respect and dignity both in their presence and in discussions with other members of the allied health care team; • Place the rights, needs and interests of the patient foremost, while respecting the professional obligations to society to participate in matters related to health care planning and resource allocation; • Respect patient autonomy at all times by discussing treatment options with the patient or surrogate
Collaboration	<ul style="list-style-type: none"> • View oneself as a member of a team; • Contribute to a common goal;

Core Value	Examples
	<ul style="list-style-type: none"> • Offer one’s expertise; • Share in the responsibility for outcomes; • Acknowledge contribution of others; • Identify common interests, define common problems and seek solutions; • Be reasonable and fair in expectations of others and attempt to resolve conflicts in an appropriate manner; • Provide fair, respectful, objective, timely, frequent and constructive feedback; • Demonstrate willingness and ability to identify, accept and discuss both one’s own problematic behaviours and those involving colleagues • Demonstrate civility in all interactions
Excellence	<ul style="list-style-type: none"> • Conscientiously try to exceed ordinary expectations; • Display commitment to continuously improve one’s knowledge and skills through life-long learning (for example, participate in continuing medical education activities as approved by the department); • Recognize and accept limitations in one’s knowledge and skills; • Be aware of one’s responsibilities • Demonstrate initiative and a commitment to ensure the job gets done well; • Handle challenges, conflicts, and ambiguities inherent in professional health care at appropriate training levels.
Compassion and Empathy	<ul style="list-style-type: none"> • Recognize or understand another's state of mind or emotion; • Experience the outlook or emotions of another being by “putting oneself in another’s shoes”; • Demonstrate deep awareness of the suffering of another and the desire to relieve it.
Integrity and Honesty	<ul style="list-style-type: none"> • Demonstrate consistent regard for the highest standards of behaviour and the refusal to violate one’s professional codes; • Be fair, be truthful, keep one’s word, meet commitments, and be straightforward; • Avoid misrepresentation or falsification;

Core Value	Examples
	<ul style="list-style-type: none"> • Avoid real, potential or perceived conflicts of interest and disclose conflicts of interest as they arise, whether such conflict of interest is financial or any other circumstance that might influence an individual's judgment or commitment; • Conduct research responsibly; • Record and maintain accurate and complete research notes, and ensure data is available to the Research Site Supervisor • Credit ideas developed and work done by others; • Record accurately history and physical findings, test results, and other information pertinent to the care of the patient; • Communicate with honesty and compassion; • Recognize one's own limitations in terms of level of training, experience, skills, competence; • Follow the University of Ottawa Academic Integrity guidelines on use of Artificial Intelligence.
Altruism	<ul style="list-style-type: none"> • Display compassion and selflessness in dealings with others; • Promote the common good of teams and work groups above self; • Demonstrate a willingness to balance personal needs versus the needs of patients and appropriately delegate clinical responsibility when personal needs demand it.
Wellness	<ul style="list-style-type: none"> • Adopt a multidimensional state of being, describing the existence of positive mental and physical health in an individual as exemplified by quality of life and a sense of well-being; • Practice and model self-compassion to promote wellness.
Equity	<ul style="list-style-type: none"> • Recognize fair opportunity to attain full potential in health • Recognize fair opportunity in work and career; • Reject discrimination based on age, physical characteristics, disease or disability, creed, ethnic origin, gender, nationality, political affiliation, race, sexual orientation, or social standing; • Advocate for patients who cannot advocate for themselves regarding their health care.
Confidentiality	<ul style="list-style-type: none"> • Protect and respect the confidentiality of personal information and of personal health information of patients, research participants and others including accessing electronic medical records;

Core Value	Examples
	<ul style="list-style-type: none"> • Limit discussions of patient health issues to appropriate settings for clinical or educational purposes and do not disclose patient details in conversation, other settings, in social media or on the Internet; • Respect the patient and their family and to observe the need for consent and confidentiality in all dealings with patients and their family.
Responsibility and Accountability	<ul style="list-style-type: none"> • Ensure that all actions and decisions are guided by the fundamental obligation to advance the well-being of society as a whole ; • Develop an awareness and respect for the ethical and medico-legal standards in accordance with the guidelines of the relevant professional bodies; • Demonstrate an ability to work independently while accepting direction from those charged with supervision; • Acknowledge and recognize one’s strengths and limitations and seek assistance as necessary; • Demonstrate accessibility, attendance, punctuality and trustworthiness; • Use with discernment alcohol and mood-altering medications in a way that will not interfere with educational or professional responsibilities; • Abstain from use of, or handling of illegal drugs; • Assist other colleagues in need of help in meeting their professional and ethical obligations; • Present and conduct oneself in a dignified, respectful and professional manner while functioning in an official capacity; • Promote the dignity of the medical profession in all settings.
Dedication and Self-Improvement	<ul style="list-style-type: none"> • Strive continuously to develop knowledge, skills and competence; • Promote and uphold the educational standards of the Faculty of Medicine; • Assess one’s own educational progress and determine one’s own learning needs; • Pursue self-education through the use of appropriate resources and prepare oneself for all learning sessions; • Seek further instruction in areas of both strength and weakness; • Demonstrate a willingness to teach and share in the learning process with peers, staff and faculty and as such promote the student-teacher relationship and not abuse this trust for personal gain;

Core Value	Examples
	<ul style="list-style-type: none"><li data-bbox="611 240 1915 306">• Seek help from colleagues and appropriately qualified professionals for personal problems that adversely affect one’s education, or service to patients, society or the profession.

6. EXAMPLES

Behaviour, such as, providing constructive, objective, and respectful feedback—whether for evaluation, performance management, patient safety, or quality of care—or advocating for individuals, communities, and populations, or challenging the status quo, do not constitute a [Professionalism Concern](#), provided these actions align with the [Professionalism Standard](#) and [Core Values](#). Below is a non-exhaustive list of examples of behaviour that raise a Professionalism Concern:

Mistreatment:

Discriminatory or derogatory conduct

- Making derogatory comments, jokes, slurs, or sharing offensive images (in any format or forum) targeting an individual’s race, colour, ancestry, place of origin, citizenship, ethnic origin, disability, creed, sex (including sexual harassment and pregnancy), sexual solicitation or advances, gender identity, gender expression, sexual orientation, family status, marital status, or age (“protected grounds”).
- Drawing attention to an individual’s protected grounds to undermine their role in the [Learning or Work Environment](#).
- Using innuendo, taunting, or ostracizing someone based on protected grounds.

Aggressive or intimidating behaviour

- Using profanity, disrespectful language, inappropriate labels, name-calling, patronizing or insulting remarks.
- Public shaming, yelling, screaming, or employing intimidation tactics to gain compliance.
- Engaging in verbal intimidation through gossip, rumour-spreading, or persistent criticism.
- Displaying intimidating gestures (e.g., slamming doors, throwing objects) or non-verbal hostility (e.g., eye-rolling, exaggerated sighs, facial expressions, turning away).

Sexual misconduct

- Engaging in sexual violence, including assault, harassment, stalking, indecent exposure, voyeurism, exploitation, or sharing sexual images/videos without consent.
- Cyber-stalking of a sexual nature.

Privacy and Confidentiality Violations

- Unauthorized access to or disclosure of personal health information or personal data including electronic medical records.
- Unauthorized access to or disclosure of confidential institutional information.

Retaliation and Obstruction

- Retaliating against individuals who report a Professionalism Concern, participate in an investigation, or express differing opinions.
- Intentionally being uncooperative or obstinate.
- Negatively influencing:
 - employment or academic achievement
 - the social context in the Learning or Work Environment
 - Disparaging the Reporter

Neglect of professional responsibilities

- Habitual lateness for classes, meetings, rounds, or other duties.
- Exploiting learners, faculty, staff, patients, or their families.

- Failing to disclose conflicts of interest or commitment.
- Misappropriating others' work, ideas, or intellectual property.
- Involving patients or families in conflicts between healthcare workers or using care issues for personal gain.

Policy violations

- Engaging in behaviour that contravenes University or Faculty policies or procedures.

7. PROFESSIONALISM OBLIGATION AND CONSEQUENCES

Faculty Members, Learners and Faculty Staff must fulfill the [Professionalism Standard](#) and [Core Values](#) and a failure to do so could result in consequences imposed on them.

1. Professionalism Obligation

Learners	Faculty Members	Faculty Staff
<p>Learners have an obligation to fulfill the Professionalism Standard and demonstrate Core Values throughout their academic program as an academic requirement of their academic program. If a Learner fails to do so, consequences may be imposed on the Learner.</p> <p>The Learner’s ability to progress and /or to successfully complete their academic program will be subject to consequences imposed on the Learner.</p>	<p>Faculty Members have an obligation to fulfill the Professionalism Standard and demonstrate Core Values as a condition to obtaining and to maintaining a University of Ottawa academic appointment, for teaching or supervising Learners, for conducting research, for obtaining academic promotion, for obtaining and maintaining any Faculty administrative role or position.</p> <p>The Faculty Member’s ability to maintain their academic appointment, to teach or supervise Learners, to conduct research, to be promoted within the academic ranks or to maintain their Faculty administrative position or role, will be subject to any consequence imposed on the Faculty Member.</p>	<p>Faculty Staff have an obligation to fulfill the Professionalism Standard and demonstrate Core Values as a condition to obtaining and to maintaining their employment.</p> <p>The Faculty Staff member’s ability to maintain employment will be subject to any consequence imposed on the Faculty Staff member.</p>

2. Consequences

The nature and type of consequence will depend on the seriousness of the behaviour giving rise to the [Professionalism Concern](#), on any other relevant circumstance or factors and on applicable University policies. The examples of consequences in the table below are non-exhaustive and are not intended to represent a progression of consequences

<u>Learners</u>	<u>Faculty Members</u>	<u>Faculty Staff</u>
<ul style="list-style-type: none"> • A written apology, • Successfully complete educational courses, modules, exercises, training or other instructional sessions on professionalism, • Participate in coaching sessions approved by the Responsible Faculty Authority, • Adhere to conditions related to the Learner's access to the Learning or Work Environment, • Adhere to a written agreement to address the Learner's behaviour (a "behaviour contract"), • Academic consequences (for example: remediation, probation, notation on the academic record, failure of a course, unit, rotation, elective or program, suspension, leave of absence, dismissal, withdrawal, expulsion from the program), • Other consequences (for example, behavioural contract, undertaking a OMA PHP assessment) 	<ul style="list-style-type: none"> • A written apology, • Successfully complete educational courses, modules, exercises, training or other instructional sessions on professionalism, • Participate in coaching sessions approved by the Responsible Faculty Authority at the Faculty Member's sole expense to provide and support a written action plan and outcomes, • Adhere to conditions or prohibitions related to the Faculty Member's access to the Learning or Work Environment, • Adhere to conditions related to the Faculty Member's supervision of Learners or prohibition on supervision of Learners, • Other consequences (for example: remediation, OMA PHP assessment, probation, notation on the performance record, failure to attain academic promotion, leave of absence, termination of the academic appointment or Faculty 	<ul style="list-style-type: none"> • A written apology, • Successfully complete educational courses, modules, exercises, training or other instructional sessions on professionalism, • Participate in coaching sessions approved by the Responsible Faculty Authority • Complete an action plan and achieve outcomes to address their behaviour, • Adhere to conditions or prohibitions related to the Faculty Staff member's access to the Learning or Work Environment, • Adhere to conditions related to the Faculty Staff Member's supervision of others, • Other consequences (for example: remediation, probation, letter of reprimand, notation on the employee record, probation, suspension, leave of absence, termination of the employment).

<u>Learners</u>	<u>Faculty Members</u>	<u>Faculty Staff</u>
	administrative role or position).	

8. REPORTING A PROFESSIONALISM CONCERN

1. Reporting through the Faculty's online [reporting tool](#)

A Professionalism Concern involving a [Respondent](#) can be reported to the Faculty by a person who is a witness to or is directly involved in the situation giving rise to the Professionalism Concern and is not in a position of authority over the Respondent to address the Professionalism Concern. Concerns related to professionalism, whether directly observed by the Responsible Faculty Authority or brought to their attention by others, may be formally reported. Upon receiving a report of a Professionalism Concern, the Responsible Faculty Authority will initiate the appropriate steps and proceed through the stages of intervention as outlined in this Policy. The Faculty's online [reporting tool](#) can be used to report a Professionalism Concern. The report of an alleged Professionalism Concern is referred by the [Office of Professionalism](#) to the Responsible Faculty of Authority for follow-up.

2. Anonymous report

An anonymous report of an allegation of a [Professionalism Concern](#) can be considered by the Faculty if it consists of sufficient, substantive and verifiable information and if the anonymity of the person reporting the Professionalism Concern does not prejudice the fairness of the follow-up or investigation of the Professionalism Concern. An anonymous report of a Professionalism Concern may pose limitations on the Faculty in its ability to investigate, escalate to the relevant faculty investigation committee and conduct appropriate follow-up with the reporter to ensure that the concerns are accurately substantiated and appropriately addressed through this policy.

3. No reprisal for reporting

Individuals who report a professionalism concern or participate in the process of addressing such concerns in accordance with this Policy are protected the fullest extent possible. Protective measures may include removing contact of the respondent with the reporter in the learning environment.

The Faculty will not tolerate any form of reprisal or retaliation, which are a form of mistreatment. When a report is submitted all parties involved are reminded of this policy. Disciplinary action will be taken by the Faculty of Medicine if such conduct occurs. If you believe that you have been subjected to reprisal or retaliation, please retain any documentation such as emails, texts or recordings.

9. PROCESS

1. Support person

Learners, Faculty Members and Faculty Staff are always free, to consult with or seek the advice and support from the relevant student association, union or other employee group.

A [Reporter](#) who has reported a [Professionalism Concern](#) and the [Respondent](#) can be accompanied by a support person of their choice during the stages of intervention outlined in this Policy. The support person can provide encouragement or other emotional or moral support, but their role is not to act on behalf of the person who has reported a Professionalism Concern or who is the Respondent. The person who reported the Professionalism Concern and the Respondent must each make their own submissions or give their own account (verbal or written) of the Professionalism Concern. The support person must maintain the confidentiality of information and may be required to sign a confidentiality agreement.

2. Confidentiality

All individuals involved in reporting and addressing a [Professionalism Concern](#) (including, without limitation, the person who reported the Professionalism Concern, the [Respondent](#), the [Responsible Faculty Authority](#), any witnesses or support persons) are required to maintain confidentiality to safeguard individuals against unsubstantiated allegations of a Professionalism Concern, in order to protect the rights of those involved in the allegation of a Professionalism Concern, preserve the proper functioning of the progressive stages of intervention outlined in this Policy and ensure the integrity of any investigation.

The disclosure of information related to a Professionalism Concern will be limited to only those with a need to know based on their University responsibilities or individuals required to investigate the report, implement [Interim Measures](#), protect the health and safety of others, to impose consequences or otherwise enable the Faculty to address the Professionalism Concern based on the investigation results.

The disclosure of information related to a Professionalism Concern by the Faculty to an [Instructional Site](#) will be determined by the [Responsible Faculty Authority](#) on a case-by-case basis considering the following:

- [University Policy 90 – Access to Information and Protection of Privacy](#) and any advice from the University's Chief Privacy Officer and Legal Counsel,
- Risk to the health, safety of a Learner, Faculty Member, Faculty Staff, patient or other person,
- Risk of harm to the [Learning or Work Environment](#) or to reputation of the University or of the Faculty.

Any person breaching confidentiality may be subject to discipline or other appropriate action.

3. Stages of Intervention

Depending on the severity of the [Professionalism Concern](#), the Faculty uses progressive stages of intervention based on the Vanderbilt Model to handle a Professionalism Concern, as depicted in [Appendix B](#). The following stages of intervention outlined in this Policy are (see definitions in [Appendix A](#)):

- [Informal intervention \(“cup of coffee conversation”\)](#)
- [Level 1 intervention \(“awareness intervention”\)](#)
- [Level 2 intervention \(“authority intervention”\)](#)
- [Level 3 intervention \(“disciplinary intervention”\)](#)

The intention of using progressive stages of intervention is to resolve and remediate the behaviour giving rise to the [Professionalism Concern](#), to prevent its reoccurrence and to allow the [Respondent](#) to continue with carrying out their program or University responsibilities. The relevant [Responsible Faculty Authority](#) mentioned at each stage of intervention will vary and will depend on whether the Respondent is a Learner, Faculty Member or Faculty Staff.

The progressive stages of intervention outlined in this Policy are not intended to discourage an individual from pursuing any external legal recourse that may be available to them. It also does not replace or supersede complaint or [Investigation](#) processes in any applicable collective agreement provisions that align with the University’s obligations.

10. PROCESS FOR RESPONDENT LEARNERS

Informal intervention (“cup of coffee conversation”)

Informal intervention is used when the behaviour giving rise to the Professionalism Concern is minor, a single incident, an anomaly and there is usually no need to document, except by exception.

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Faculty Member](#) / Colleague

Informal intervention

- 1) If comfortable, engage in a discussion with the Respondent Learner about the behaviour giving rise to a Professionalism Concern.
- 2) Provide the Respondent Learner with feedback about the behaviour.
- 3) Encourage the Respondent Learner to reflect on the behaviour and feedback.
- 4) Decide when informal conversation (there can be more than one informal conversation) is not adequately addressing behaviour giving rise to a Professionalism Concern and intervention needs to be escalated to another level of intervention. This may include reporting the Professionalism Concern to a Faculty Authority or submitting the Professionalism Concern to the Faculty’s [reporting tool](#).
- 5) If escalation is required and the Professionalism Concern is reported via the [reporting tool](#) then based on the level of intervention determined, the sequence of events will follow according to the level.

Level 1 intervention (“awareness intervention”):

A Level 1 intervention is the “awareness intervention” and is typically used by the [Responsible Faculty Authority](#) where an intervention beyond informal conversation for an incident of low severity is not effective and a pattern of behaviour giving rise to a Professionalism Concern appears to be developing and the Respondent Learner needs to act.

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Faculty Member](#)

Level 1 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Learner directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

- 1) If the Professionalism Concern was reported to a Faculty Authority, obtain any additional information and/or clarification from the reporter as needed.
- 2) Bring the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Learner and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Learner why the observed behaviours are giving rise to a Professionalism Concern.
- 3) Communicate to the Respondent Learner methods of redress to cease the observed behaviour.
- 4) Provide referrals to wellness resources and supports to the Reporter and Respondent as needed.
- 5) Document the interventions above and record in the Respondent Learner’s file and any follow-up required.
- 6) Provide an update as appropriate to the Reporter.

Level 2 intervention (“authority intervention”):

A Level 2 intervention is the “authority intervention” and is used by the [Responsible Faculty Authority](#) when there is a failure to adequately respond to the [Level 1 intervention](#), and evidence of an ongoing or a pattern of behaviour giving rise to a Professionalism Concern and a need for documented improvement and evaluation plan.

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Faculty Member](#) and [Responsible Vice Dean/Assistant Dean/Director](#)

Level 2 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Learner directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

[Responsible Faculty Member:](#)

1) Informs the relevant [Responsible Vice Dean/Assistant Dean](#)/Director in writing of the Professionalism Concern, the intervention taken to bring it to the Respondent Learner’s attention, the method(s) of redress, the Respondent’s response (if any) and any other circumstances and documents relevant to the Professionalism Concern;

[Responsible Vice Dean/Assistant Dean](#)/Director:

1) Communicates with the [Responsible Faculty Member](#), Respondent Learner and the reporter to obtain clarification or additional information, as needed;

This includes bringing the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Learner and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Learner why the observed behaviours are giving rise to a Professionalism Concern.

2) Decides on:

a) Whether circumstances permit another opportunity for the Respondent Learner to correct the behaviour; or

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Faculty Member](#) and [Responsible Vice Dean/Assistant Dean/Director](#)

Level 2 Intervention

- b) If the Professionalism Concern is to be referred to a [Level 3 intervention](#), and to the relevant [Responsible Faculty Committee](#) and follows-up to ensure the Responsible Faculty Committee collaborates with the relevant Instructional Site to determine whether an [Investigation](#) should be conducted jointly or in collaboration with the relevant [Instructional Site](#);
- c) [Interim Measures](#), as needed, after consulting with those involved and ensuring there is appropriate follow-up on the implementation of Interim Measures;

3) Provide referrals to wellness resources and supports to the Reporter and the Respondent as needed.

4) Ensures that decision(s) and intervention(s) are documented in the Respondent Learner's file.

If the [Responsible Vice Dean/Assistant Dean/Director](#) decides that circumstances permit another opportunity for the Respondent Learner to correct the behaviour without the necessity of referral to a [Level 3 intervention](#), then the Responsible Vice Dean/Assistant Dean/Director;

1) Provides the Respondent Learner with the following in writing:

- a) Written improvement and evaluation plans that describe the behaviour giving rise to the Professionalism Concern, the methods of redress and the actions required of the Respondent Learner to address it, the timelines to demonstrate change or progress in changing the behaviour and the plan for follow-up to evaluate if the Professionalism Concern has been addressed; and
- b) Notice that another occurrence of behaviour giving rise to a Professionalism Concern or failure to act on it could result in an escalation to a [Level 3 intervention](#) which consist of more serious consequences, including discipline.

2) Decides on whether the Respondent Learner has addressed the Professionalism Concern and/or provides direction to the Responsible Faculty Member on any further action needed.

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Faculty Member](#) and [Responsible Vice Dean/Assistant Dean/Director](#)

Level 2 Intervention

Examples of possible additional actions:

- a) Additional monitoring or follow-up of the Respondent Learner's performance and progress in changing the behaviour giving rise to the Professionalism Concern;
 - b) Referral to the relevant [Responsible Faculty Committee](#) or other relevant committee within the Faculty relevant to the Respondent Learner's academic progress within their program;
 - c) Action on the implementation of [Interim Measures](#);
 - d) Action on the plan for follow-up with the Respondent Learner;
 - e) Action on any follow-up or communication with the Reporter;
- 3) Ensures that decision(s) and intervention(s) are documented in the Respondent Learner's file.

Level 3 intervention (“discipline intervention”)

A Level 3 intervention is the “discipline intervention” and is used by the [Responsible Faculty Authority](#) where the level of severity of the behaviour giving rise to a Professionalism Concern is too serious to use progressive stages of intervention or the behaviour has continued despite previous inquiries at [Level 1 intervention](#) or [Level 2 intervention](#) or the behaviour giving rise to a Professionalism Concern needs an [Investigation](#) and/or if founded, warrants the imposition of consequences, including, but not limited to discipline.

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Vice Dean/Assistant Dean/Director](#) and [Responsible Faculty Committee](#)

Level 3 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Learner directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

[Responsible Vice Dean /Assistant Dean](#)/Director

- 1) Brings the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Learner and give them an opportunity to provide any additional information or clarification. Explains to the Respondent Learner why the observed behaviours are giving rise to a Professionalism Concern.
- 2) Speaks with the reporter to obtain any additional information and/or clarification as needed;
- 3) Decides on [Interim Measures](#) and ensures appropriate follow-up on the implementation of Interim Measures
- 4) Provide referrals to wellness resources and supports to the Reporter and the Respondent as needed.
- 5) Decides on whether to refer a Professionalism Concern to the relevant [Responsible Faculty Committee](#)

Respondent: [Learner](#)

Responsible Faculty Authority: [Responsible Vice Dean/Assistant Dean/Director](#) and [Responsible Faculty Committee](#)

Level 3 Intervention

6) As applicable to Respondent Learner in the Translational and Molecular Medicine (TMM) program or graduate programs , convenes an [Inquiry Committee](#).

7) If the terms of reference of the relevant [Responsible Faculty Committee](#) do not give it the power to decide, then decides on whether to accept or reject a relevant Responsible Faculty Committee's finding, recommendation or refer such decisions to the relevant [Responsible Faculty Authority](#) or other relevant University authority.

8) In absence of relevant provisions related to the following in the terms of reference of the relevant [Responsible Faculty Committee](#):

- Ensures that decision(s), intervention(s) and outcome(s) are documented in the Respondent Learner's file and communicated to the Respondent Learner and to the [Responsible Faculty Member](#), as appropriate
- Ensures appropriate communication to reporter having regard to privacy requirements.

[Responsible Faculty Committee](#)

As applicable:

1) **Undergraduate and Postgraduate Professionalism Committee:** reviews and adjudicates the Professionalism Concern involving Respondent Learners who are in the UGME or PGME programs in accordance with its [terms of reference](#)

2) **Inquiry Committee:** investigates the Professionalism Concern involving Respondent Learners in the Translational and Molecular Medicine (TMM) program or graduate program or postdoctoral studies program, for Investigation, to make findings on whether the Professionalism Concern is substantiated and to recommend to the [Responsible Vice Dean/Assistant Dean/Director](#), consequences for the Respondent Learner, as appropriate.

3) **School of Pharmaceutical Sciences (SPS) Professionalism Committee:** review and adjudicates the Professionalism Concern involving Respondent Learners who are in the School of Pharmaceutical Sciences (SPS) program in accordance with its terms of reference.

11. PROCESS FOR RESPONDENT FACULTY MEMBERS

Informal intervention (“cup of coffee conversation”)

Informal intervention is used when the behaviour giving rise to the Professionalism Concern is minor, a single incident, an anomaly and there is usually no need to document it, except by exception

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#) / Colleague

Informal intervention

- 1) If comfortable, engage in a discussion with the Respondent Faculty Member about the behaviour giving rise to a Professionalism Concern.
- 2) Provide the Respondent Faculty Member with feedback about the behaviour.
- 3) Encourage the Respondent Faculty Member to reflect on the behaviour and feedback.
- 4) Decide when informal conversation (there can be more than one informal conversation) is not adequately addressing behaviour giving rise to a Professionalism Concern and intervention needs to be escalated to another level of intervention. This may include reporting the concern to a faculty authority or submitting the Professionalism Concern to the faculty’s [reporting tool](#).
- 5) If escalation is required and the Professionalism Concern is reported via the [reporting tool](#) then based on the level of intervention determined, the sequence of events will follow according to the level.

Level 1 intervention (“awareness intervention”)

A Level 1 intervention is the “awareness intervention” and is typically used by the [Responsible Faculty Authority](#) where an intervention beyond informal conversation for an incident of low severity is not effective and a pattern of behaviour giving rise to a Professionalism Concern appears to be developing and the Respondent Faculty members needs to act.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#)

Level 1 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Member directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

- 1) If the Professionalism Concern was reported to the Faculty Authority, obtain any additional information and/or clarification from the reporter as needed.
- 2) Bring the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Member and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Faculty Member why the observed behaviours are giving rise to a Professionalism Concerns.
- 3) Communicate with the Respondent Faculty Member methods of redress to cease the observed behaviour.
- 4) Provide referrals to wellness resources and supports to the Reporter and Respondent as needed.
- 5) Document the interventions above and record in the Respondent Faculty Member’s file and any follow-up required.
- 6) Provide an update as appropriate to the Reporter.

Level 2 intervention (“authority intervention”):

A Level 2 intervention is the “authority intervention” and is used by the [Responsible Faculty Authority](#) when there is a failure to adequately respond to the [Level 1 intervention](#) and evidence of an ongoing or a pattern of behaviour giving rise to a Professionalism Concern and a need for documented improvement and evaluation plan.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#) and Vice-Dean Faculty Affairs

For Respondent Faculty Members in a Faculty Leader position, the Responsible Faculty Authority is a Responsible Faculty Leader in authority over the Respondent and/or Vice-Dean Faculty Affairs or Dean, as appropriate

Level 2 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Member directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

[Responsible Faculty Leader:](#)

1) Informs the Vice-Dean Faculty Affairs and/or other Responsible Faculty Leader (as applicable to the Respondent Faculty Member) in writing of the Professionalism Concern, the intervention taken to bring it to the Respondent Faculty Member’s attention, the method(s) of redress, the Respondent’s response (if any) and any other circumstances and documents relevant to the Professionalism Concern;

Vice Dean Faculty Affairs and/or [Responsible Faculty Leader](#) (where the Respondent Faculty Member is in a Responsible Faculty Leader position):

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#) and Vice-Dean Faculty Affairs

For Respondent Faculty Members in a Faculty Leader position, the Responsible Faculty Authority is a Responsible Faculty Leader in authority over the Respondent and/or Vice-Dean Faculty Affairs or Dean, as appropriate

Level 2 Intervention

1) Communicates with the Respondent Faculty Member and as applicable, the reporter to obtain clarification or additional information, as needed;

This includes bringing the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Member and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Faculty Member why the observed behaviours are giving rise to a Professionalism Concern.

2) Decides on:

a) Whether circumstances permit another opportunity for the Respondent Faculty Member to correct the behaviour; or

b) If the Professionalism Concern is to be referred to a [Level 3 intervention](#), and to the relevant [Responsible Faculty Committee](#) and follows-up to ensure the Responsible Faculty Committee collaborates with the relevant Instructional Site to determine whether an [Investigation](#) should be conducted jointly or in collaboration with the relevant [Instructional Site](#);

c) [Interim Measures](#), as needed, after consulting with those involved and ensuring there is appropriate follow-up on the implementation of Interim Measures;

3) Provide referrals to wellness resources and supports to the Reporter and the Respondent as needed.

4) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Member's file.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#) and Vice-Dean Faculty Affairs

For Respondent Faculty Members in a Faculty Leader position, the Responsible Faculty Authority is a Responsible Faculty Leader in authority over the Respondent and/or Vice-Dean Faculty Affairs or Dean, as appropriate

Level 2 Intervention

If the decision is that circumstances permit another opportunity for the Respondent Faculty Member to correct the behaviour without the necessity of referral to a [Level 3 intervention](#), then the Vice-Dean Faculty Affairs and/or [Responsible Faculty Leader](#) (as applicable to the Respondent Faculty Member);

1) Provides the Respondent Faculty Member with the following in writing:

- a) Written improvement and evaluation plans that describe the behaviour giving rise to the Professionalism Concern, the methods of redress and the actions required of the Respondent Faculty Member to address it, the timelines to demonstrate change or progress in changing the behaviour and the plan for follow-up to evaluate if the Professionalism Concern has been addressed; and
- b) Notice that another occurrence of behaviour giving rise to a Professionalism Concern or failure to act on it could result in an escalation to a Level 3 intervention which consist of more serious consequences, including discipline or removal/termination of Faculty academic appointment and/or role.

2) Decides on whether the Respondent Faculty Member has addressed the Professionalism Concern and/or provides direction on any further action needed.

Examples of possible additional actions:

- a) Additional monitoring or follow-up of the Respondent Faculty Member's performance and progress in changing the behaviour giving rise to the Professionalism Concern;
- b) Referral to the relevant [Responsible Faculty Committee](#) or other relevant committee within the Faculty relevant to the Respondent's Faculty Members Faculty appointment or role and or referral to the relevant instructional site;

Respondent: [Faculty Member](#)

Responsible Faculty Authority: [Responsible Faculty Leader](#) and Vice-Dean Faculty Affairs

For Respondent Faculty Members in a Faculty Leader position, the Responsible Faculty Authority is a Responsible Faculty Leader in authority over the Respondent and/or Vice-Dean Faculty Affairs or Dean, as appropriate

Level 2 Intervention

- c) Action on the implementation of [Interim Measures](#);
 - d) Action on the plan for follow-up with the Respondent Faculty Member;
 - e) Action on any follow-up or communication with the Reporter.
- 3) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Member's file.

Level 3 intervention (“discipline intervention”)

A Level 3 intervention is the “discipline intervention” and is used by the [Responsible Faculty Authority](#) where the level of severity of the behaviour giving rise to a Professionalism Concern is too serious to use progressive stages of intervention or the behaviour has continued despite previous inquiries at [Level 1 intervention](#) or [Level 2 intervention](#) or the behaviour giving rise to a Professionalism Concern needs an [Investigation](#) and/or if founded, warrants the imposition of consequences, including but not limited to discipline.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: Vice Dean Faculty Affairs and Dean

Responsible Faculty Committee: Professionalism Investigation Committee

Level 3 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Member directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

Vice Dean Faculty Affairs

- 1) Brings the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Member and provide them an opportunity to provide any additional information or clarification. Explains to the Respondent Faculty Member why the observed behaviours are giving rise to a Professionalism Concern.
- 2) Speak with the reporter and provide them with an opportunity to provide any additional information or clarification.
- 3) Decides on [Interim Measures](#) and ensures appropriate follow-up on the implementation of Interim Measures.
- 4) Provides referrals to wellness resources and supports to the Reporter and Respondent.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: Vice Dean Faculty Affairs and Dean

[Responsible Faculty Committee:](#) Professionalism Investigation Committee

Level 3 Intervention

5) Verifies if the [Instructional Site](#) has conducted its own [Investigation](#) into the Respondent Faculty Member and the behaviour giving rise to the Professionalism Concern. Decides on whether to refer the Professionalism Concern to the Professionalism Investigation Committee remains necessary.

6) If referring the Professionalism Concern to the Professionalism Investigation Committee, contacts the [Instructional Site](#) representative with authority over the Respondent Faculty Member to appoint a member to the Faculty Professionalism Investigation Committee, in which case the [Investigation](#) will be considered a joint investigation of the Faculty and of the Instructional Site.

7) If the Instructional Site has conducted its own Investigation, choose to be informed only of the outcome of the Investigation conducted by the Instructional Site, in which case they will be informed, to the extent permitted, of whether the Professionalism Concern was substantiated or not and if so, whether a consequence was imposed or not.

8) Ensures that decision(s), intervention(s) and outcome(s) are documented in the Respondent Faculty Member's file and communicated to the Respondent Faculty Member and to the Responsible Faculty Authority, as appropriate.

[Responsible Faculty Committee](#)

Professionalism Investigation Committee:

1) Reviews and adjudicates the Professionalism Concern in accordance with its terms of reference

2) Determines the validity of a Level 3 report.

3) Reviews and renders a decision and recommends a course of intervention and follow-up to the Dean.

Respondent: [Faculty Member](#)

Responsible Faculty Authority: Vice Dean Faculty Affairs and Dean

[Responsible Faculty Committee:](#) Professionalism Investigation Committee

Level 3 Intervention

4) Determines whether the Professionalism Concern raises matters that cannot be solely addressed within the academic appointment and jurisdiction of the Faculty and of the University or has an impact on safeguarding the [Learning or Work Environment](#)

*****When concerns arise regarding the quality of care, the Responsible Faculty Authority engages with the instructional site.*****

Dean

- 1) Decides on the imposition of any consequences imposed on the Respondent Faculty Member; and
- 2) Ensures follow-up to determine if the consequences imposed on the Respondent Faculty Member effectively prevent the reoccurrence of the Professionalism Concern.

12. PROCESS FOR RESPONDENT FACULTY STAFF

Informal intervention (“cup of coffee conversation”)

Informal intervention is used when the behaviour giving rise to the Professionalism Concern is minor, a single incident, an anomaly and there is usually no need to document it, except by exception

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: [Responsible Supervisor](#) / Colleague

Informal intervention

- 1) If comfortable, engage in a discussion with Respondent Faculty Staff member about the behaviour giving rise to a Professionalism Concern.
- 2) Provide the Respondent Faculty Staff with feedback about the behaviour.
- 3) Encourage the Respondent Faculty Staff member to reflect on the behaviour and feedback.
- 4) Decide when informal conversation (there can be more than one informal conversation) is not adequately addressing behaviour giving rise to a Professionalism Concern and intervention needs to be escalated to another level of intervention. This may include reporting the concern to a faculty authority or submitting the Professionalism Concern to the faculty’s [reporting tool](#).
- 5) If escalation is required and the Professionalism Concern is reported via the [reporting tool](#) then based on the level of intervention determined, the sequence of events will follow according to the level.

Level 1 intervention (“awareness intervention”):

A Level 1 intervention is the “awareness intervention” and is typically used by the [Responsible Faculty Authority](#) where an intervention beyond informal conversation for an incident of low severity is not effective and a pattern of behaviour giving rise to a Professionalism Concern appears to be developing and the Respondent Faculty Staff needs to act.

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: [Responsible Supervisor](#)

Level 1 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Staff directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

- 1) If the Professionalism Concern was reported to the Faculty Authority, obtain any additional information and/or clarification from the reporter, as needed.
- 2) Bring the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Staff member and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Faculty Staff why the observed behaviours are giving rise to a Professionalism Concern.
- 3) Communicate with the Respondent Faculty staff methods of redress to cease the observed behaviour.
- 4) Provide referrals to wellness resources and supports to the Reporter and Respondent as needed.
- 5) Document the interventions above and record in the Respondent Faculty Staff member’s file and any follow-up required.
- 6) Provide an update as appropriate to the reporter.

Level 2 intervention (“authority intervention”):

A Level 2 intervention is the “authority intervention” and is used by the [Responsible Faculty Authority](#) when there is a failure to adequately respond to the [Level 1 intervention](#), and/or evidence of an ongoing or a pattern of behaviour giving rise to a Professionalism Concern and a need for documented improvement and evaluation plan.

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: [Responsible Supervisor](#) and [Director](#)

Level 2 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Staff directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty’s [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

[Responsible Supervisor:](#)

- 1) Informs the Director in writing of the Professionalism Concern, the intervention taken to bring it to the Respondent Faculty Staff member’s attention, the method(s) of redress, the Respondent Faculty Staff member’s response (if any) and any other circumstances and documents relevant to the Professionalism Concern;
- 2) As applicable, recommends to the Director whether the Professionalism Concern should be reported to the Faculty’s Human Resources office.
- 3) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Staff member’s file.

Director:

- 1) Communicates with the [Responsible Supervisor](#), the Respondent Faculty Staff member and as applicable, the reporter to obtain clarification or additional information in line with the collective agreement provisions as applicable;

This includes bringing the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Staff and give them an opportunity to provide any additional information or clarification. Explain to the Respondent Faculty Staff why the observed behaviours are giving rise to a Professionalism Concern.

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: [Responsible Supervisor](#) and [Director](#)

Level 2 Intervention

2) Decides on:

- a) Whether circumstances permit another opportunity for the Respondent Faculty Staff to correct the behaviour; or
- b) If the Professionalism Concern is to be referred to a [Level 3 intervention](#);
- c) [Interim Measures](#), as needed, after consulting with those involved and ensures appropriate follow-up on the implementation of Interim Measures;

3) Provides referrals to wellness resources and supports to the Reporter and the Respondent as needed.

4) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Staff member's file.

If the Director decides that circumstances permit another opportunity for the Respondent Faculty Staff member to correct the behaviour without the necessity of referral to a [Level 3 intervention](#), then the Director;

1) Provides the Respondent Faculty Staff member with the following in writing:

- a) Written improvement and evaluation plans that describe the behaviour giving rise to the Professionalism Concern, the methods of redress and the actions required of the Respondent Faculty Staff member to address it, the timelines to demonstrate change or progress in changing the behaviour and the plan for follow-up to evaluate if the Professionalism Concern has been addressed; and
- b) Notice that another occurrence of behaviour giving rise to a Professionalism Concern or failure to act on it could result in an escalation to a [Level 3 intervention](#) and/or to more serious consequences, including discipline.

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: [Responsible Supervisor](#) and [Director](#)

Level 2 Intervention

2) Decides on whether the Respondent Faculty Staff member has addressed the Professionalism Concern and/or provides direction to the Responsible Supervisor on any further action needed.

Examples of possible additional actions:

- a) Additional monitoring or follow-up of the Respondent Faculty Staff member's performance and progress in changing the behaviour giving rise to the Professionalism Concern;
- b) Action on the implementation of [Interim Measures](#);
- c) Action on the plan for follow-up with the Respondent Faculty Staff member;
- d) Action on any follow-up or communication with the Reporter.

3) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Staff member's file.

Level 3 intervention ("discipline intervention")

A Level 3 intervention is the "discipline intervention" and is used by the Responsible Faculty Authority where the level of severity of the behaviour giving rise to a Professionalism Concern is too serious to use progressive stages of intervention or the behaviour has continued despite previous inquiries at [Level 1 intervention](#) or [Level 2 intervention](#) or the behaviour giving rise to a Professionalism Concern needs an [Investigation](#) and/or if founded, warrants the imposition of consequences, including but not limited to discipline

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: Director

Level 3 Intervention

Respondent: [Faculty Staff](#)

Responsible Faculty Authority: Director

Level 3 Intervention

*****Reporters are encouraged to report observed concerning behaviour of a Faculty Staff directly to the appropriate Responsible Faculty Authority. Reporters are also encouraged to submit reports of concerning behaviour through the Faculty's [reporting tool](#), where the concern will be directed to the responsible Vice-Dean, Assistant-Dean or Director for appropriate follow-up.*****

Director

1) If not already done at a previous stage of intervention:

- a) Brings the behaviour giving rise to the Professionalism Concern to the attention of the Respondent Faculty Staff and provide them an opportunity to provide any additional information or clarification in accordance with the process outlined in their collective agreement if applicable. Explains to the Respondent Faculty Staff why the observed behaviours are giving rise to a Professionalism Concern.
- b) Speak with the reporter and provide them with an opportunity to provide any additional information or clarification.
- c) Decides on [Interim Measures](#), as needed, after consulting with those involved and ensures appropriate follow-up on the implementation of Interim Measures;
- d) As applicable, communicates with the union relevant to the Respondent Faculty Staff member and ensures compliance with relevant collective agreement;
- e) Provide referrals to wellness resources and supports to the Reporter and Respondent as needed;

2) Arranges for and oversees any Investigation into the Professionalism Concern and ensures the Investigation is conducted fairly and in a timely manner;

3) In collaboration with Faculty Human Resources and Central Labour Relations determines consequences, if any to be imposed on the Respondent Faculty Staff member and on any follow-up actions;

Respondent: Faculty Staff Responsible Faculty Authority: Director Level 3 Intervention
4) Action on any follow-up or communication with the Reporter as applicable; 5) Ensures that decision(s) and intervention(s) are documented in the Respondent Faculty Staff member's file.

SECTION 8: POLICY REVIEW

8.1 This Policy shall be reviewed and amended by the appropriate governing body of the Faculty as required. Faculty Members and Learners and Faculty Staff are expected to consult, from time to time, this policy found to familiarize themselves with any changes; this Policy will be made available on the Faculty's website.

Approval:

Faculty Council:

Executive Committee of the Senate:

Faculty Council:

Executive Committee of the Senate:

Executive Leadership Team:

Faculty Council:

Executive Committee of the Senate:

Date:

October 19, 2011

February 13, 2012 (11:M05:25)

October 29, 2013

January 14, 2014 (13:M05:20)

November 26, 2025

January 13, 2026

May 27, 2026

APPENDIX A: DEFINITIONS

For the purposes of this Policy, the following capitalized words and expressions have the following corresponding meaning.

1. Core Value

A fundamental attribute of the Professionalism Standard described in [Section 5](#) and collectively the 11 fundamental attributes in [Section 5](#) are referred to as “Core Values”.

2. Director

Directors are referred to as the Directors of the academic units and or of the Faculty Staff.

3. Faculty Member

All unionized and non-unionized academic staff of the Faculty of Medicine, as well as visiting professors, clinicians, scientists, and pharmacists with academic appointments in the Faculty, including academic staff whose salary or stipend may be paid, in whole or in part, by another organization.

4. Faculty Staff

Administrative or research support staff employed by the University that are not Faculty Members, including but not limited to, technicians, research associates, lab managers, and lab technicians who work in the Learning or Work Environment.

5. Informal intervention (« cup of coffee conversation”)

Informal intervention or “cup of coffee conversation”) is used when the behaviour giving rise to the Professionalism Concern is minor, a single incident, an anomaly and there is usually no need to document it, except by exception .

6. Instructional Site

A hospital, healthcare clinic, community practice, institution or organization, pharmacy, health research institute or organization that has an agreement with the Faculty to provide access to its respective patients, facilities and clinical settings to Learners and Faculty Members for healthcare, clinical or pharmaceutical education and/or research.

7. Interim Measures

Temporary measures put in place by the Responsible Faculty Authority at any time while managing a Professionalism Concern and pending the outcome of a resolution or an investigation into a Professionalism Concern to stabilize a situation or to protect a person from retaliation or the threat of retaliation, to prevent further incidents or to address safety or other concerns, and/or otherwise provide support. Examples of Interim Measures may include, but are not limited to, preventing contact between people involved in the Professionalism Concern, modifying duties or schedules or imposing a temporary leave of absence on a non-disciplinary or without prejudice basis. Interim Measures are time limited and precautionary, not disciplinary.

8. Investigation

The act of formally examining the alleged incidents behaviours and events related to the Professionalism Concern and the Respondent's response(s) to such allegation in a manner appropriate in the circumstances, to determine whether the Professionalism Concern is substantiated.

9. Learner

An individual registered, on a full-time or part-time basis, or as a non-degree student, in a Faculty undergraduate, postgraduate, graduate or postdoctoral program, including without limitation, a medical student, graduate student, Translational and Molecular Medicine (TMM) student, pharmacy student, resident, clinical fellow, post doctoral fellow and an individual attending the Faculty on a temporary basis as part of an elective or other education program in the Faculty.

10. Learning or Work Environment

The education, research, and/or clinical or pharmaceutical environment that has a real and substantial connection to the Faculty. It includes (without limitation and regardless of the mode of delivery or regardless of the medium, in-person, online, electronic or otherwise) class, lecture, tutorial, placement, internship, clerkship, residency, rotation, elective, course, project, field trip, the Instructional Site setting and any other setting involving a Faculty program, service, function, event or other activity.

11. Level 1 Intervention

A Level 1 intervention is the "awareness intervention" and is typically used by the Responsible Faculty Authority where an intervention beyond informal conversation for an incident of low severity is not effective and a pattern of behaviour giving rise to a Professionalism Concern appears to be developing and the Respondent needs to act.

12. Level 2 intervention

A Level 2 intervention is the "authority intervention" and is used by the Responsible Faculty Authority when there is a failure to adequately respond to the Level 1 intervention, there is evidence of an ongoing or a pattern of behaviour giving rise to a Professionalism Concern and a need for documented improvement and evaluation plans.

13. Level 3 intervention

A Level 3 intervention is the "discipline intervention" and is used by the Responsible Faculty Authority where the level of severity of the behaviour giving rise to a Professionalism Concern is too serious to appropriately use progressive stages of intervention, or the behaviour has continued despite previous inquiries and [Level 1 intervention](#) or [Level 2 intervention](#) or the behaviour giving rise to a Professionalism Concern needs an Investigation and/or if founded, warrants the imposition of [consequences](#), including, but not limited to, discipline. See examples of consequences in [Section 7](#) of this Policy.

14. Mistreatment

Any behavior that jeopardizes the respectful and safe learning environment, includes

discrimination and harassment and can be sexual and non sexual in nature. May be unintentional or intentional.

15. Professionalism Concern

A situation whereby a Learner, Faculty Member or Faculty Staff is alleged to have engaged, or to be engaging in, behaviour that does not meet the Professionalism Standard and is contrary to one or more of the Core Values. See examples of a Professionalism Concern in [Section 6](#) of this Policy.

16. Professionalism Standard

The standard described in [Section 5](#) of this Policy.

17. Respondent

The Learner or the Faculty Member or the Faculty Staff member who is alleged to have or be engaging in behaviour that is the subject of a Professionalism Concern, as in the 'Respondent Learner', 'Respondent Faculty Member', or 'Respondent Faculty Staff'.

18. Reporter

The individual submitting the report who was involved in the situation or witnessed it, or leaders of the Faculty of Medicine have been made aware of a situation or incident.

19. Responsible Faculty Authority

Individuals and committees within the Faculty tasked with addressing a Professionalism Concern as outlined in this Policy at [Section 10 – Process for Respondent Learners](#), [Section 11- Process for Respondent Faculty Members](#) and [Section 12 – Process for Respondent Faculty Staff](#).

20. Responsible Faculty Committee

A committee established within the Faculty whose mandate or terms of reference provide the power to such committee to review, investigate, and recommend on a Professionalism Concern.

For example:

- Undergraduate and Postgraduate Professionalism Committee,
- School of Pharmaceutical Sciences (SPS) Professionalism Committee,
- Professionalism Investigation Committee (PIC)
- Inquiry Committee, established and convened by the Vice-Dean Graduate and Postdoctoral Studies, Undergraduate Biomedical and Pharmaceutical Science Education.

21. Responsible Faculty Leader

The Faculty Member (or their delegate) appointed by the Faculty as the head of a Faculty department, division or school with authority over the Respondent Faculty Member. For example, Department Chair, Division Head, Director of a school within the Faculty and such other similar Faculty leader position with authority over the Respondent Faculty Member regardless of the position title (for example, the Dean if the Respondent Faculty Member is a Vice-Dean or the relevant Vice-Dean, if the Respondent Faculty Member is an Assistant or Associate Vice-Dean or

Assistant Dean).

22. Responsible Faculty Member

The Faculty Member (or their delegate) at a director or similar level of responsibility with authority over a Respondent Learner's academic evaluation. For example, Pre-Clerkship Director, Clerkship Director, supervisor of the Learner, Program Director, Residency Program Director and such other similar Faculty position within the Faculty program relevant to the Respondent Learner's academic evaluation, regardless of the position title.

23. Responsible Supervisor

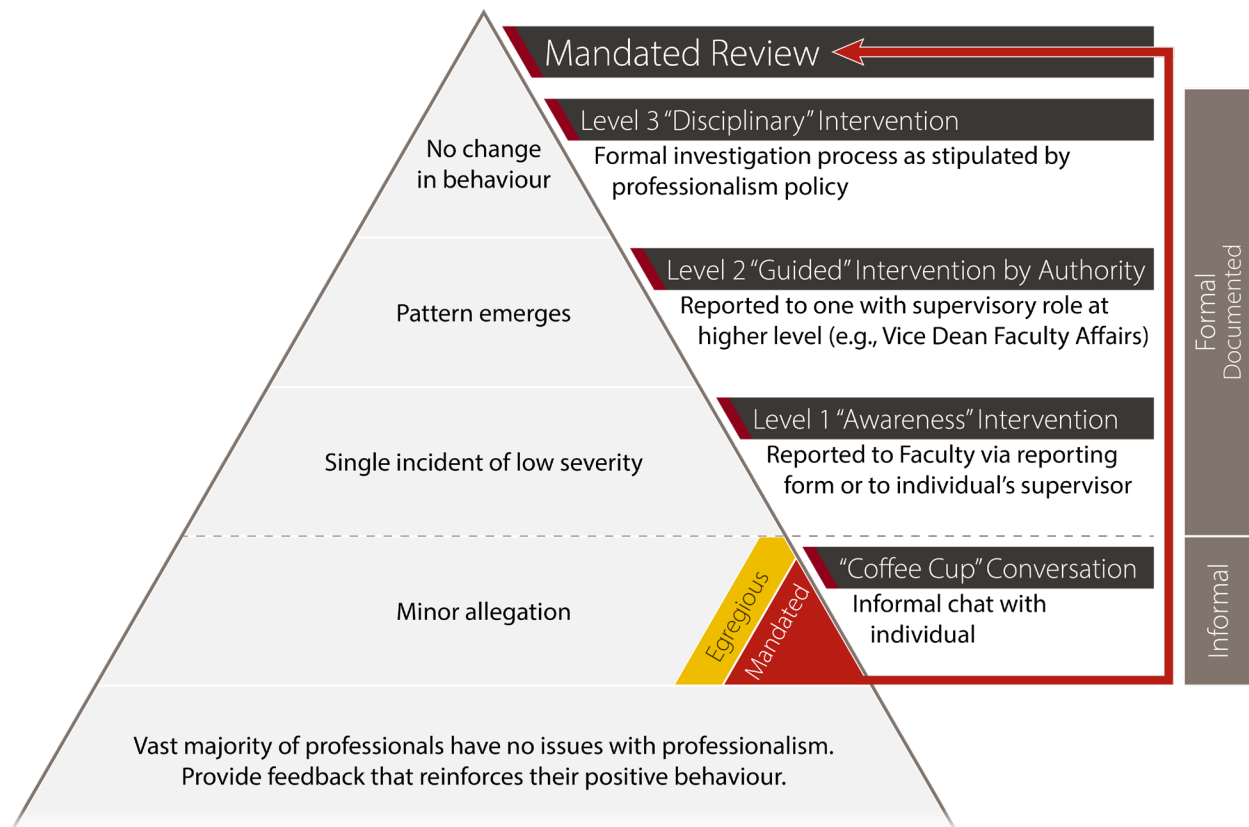
The Faculty Member or Faculty Staff (or their respective delegate) responsible for the supervision of a Respondent Faculty Staff and for evaluating their performance of their employment duties.

24. Responsible Vice Dean/Assistant Dean/Director

The Vice Dean or Assistant Dean (or their delegate) within the Faculty as applicable to a Respondent.

APPENDIX B: VANDERBILT MODEL

Vanderbilt University School of Medicine (VUSM) model describes processes to deal with unprofessional behaviour. The “Disruptive Behavior Pyramid” (Figure 1) describes the fact that the vast majority of physician behaviours are professional, as demonstrated in the open base to the pyramid.



APPENDIX C: Guidelines for managing Professionalism Concerns at a Level 3 (Discipline Intervention)

This appendix outlines the standard procedures and timelines for managing investigations of Professionalism Concerns at a Level 3 (Discipline Intervention) within the Faculty of Medicine.

It is designed to ensure fairness, transparency, and efficiency while recognizing the professional obligations of committee members.

Note: Members of the investigation committees are full-time professionals appointed to serve on these committees. While reasonable efforts will be made to adhere to the timelines outlined below. In light of the nature and complexity of the circumstances of the Complaint and of other circumstances that may arise during the process that are beyond the investigating committees reasonable control.

In light of the nature and complexity of the circumstances of the Complaint and of other circumstances that may arise during the process that are beyond a Party's reasonable control.

The relevant Faculty Committee will make reasonable efforts to reach a final outcome of the investigation process within twelve (12) months from the date the Complaint is submitted.

Step	Description	Timeline
A. Submission of Allegation	Formal submission of a Professionalism Concern allegation to the designated Faculty Authority (Vice-Dean).	Day 1
B. Preliminary Review <i>**This process includes gathering of additional information and discussions with the legal counsel, the Dean, Program Director, Division/Department Head, Chief of Staff and any other relevant Faculty Authority.**</i>	Vice Dean's initial assessment of the Professionalism Concern to determine if a formal investigation by the appropriate Faculty Committee is warranted.	Within 10 business days.
C. Notification to Respondent <i>**A formal letter is provided to the Respondent. In certain instances, Interim Measures are included. The individuals included in the drafting these letters include legal counsel and the relevant Faculty Authority.**</i>	Informing the Respondent of the allegation and investigation process.	Within 5 business days of decision to proceed.
D. Submission of Supporting Information <i>**The relevant Faculty committee will</i>	Collection of relevant documentation and evidence from involved parties.	Within 15 business days of notification.

<p><i>contact the reporter, any identified witnesses / involved parties to collect additional information as part of the investigation.**</i></p>		
<p>E. Investigation Phase</p> <p><i>**The relevant Faculty committee will meet with the reporter as required, the respondent, any identified witnesses / involved parties to collect firsthand accounts of the allegations against the Respondent.**</i></p>	<p>Review of submissions, interviews, and fact-finding by the Responsible Faculty Committee.</p>	<p>Completed within 60 business days, subject to quorum availability.</p>
<p>F. Review of Findings</p> <p><i>**The relevant Faculty committee prepares a draft findings of the information collected in the D) Submission and E) Investigation phases and will provide a copy of this report to the Respondent.**</i></p>	<p>Committee deliberation and drafting of findings report.</p>	<p>Within 10 business days of completing investigation.</p>
<p>G. Response from Respondent</p> <p><i>**The Respondent is provided with a copy of the relevant Faculty Committees' report findings and is provided an opportunity to respond to the allegations. Upon receipt of the Respondents feedback, the relevant Faculty Committee can choose to modify their report before submitting the final version to the appropriate Faculty Authority.**</i></p>	<p>Opportunity for the Respondent to respond to the Responsible Faculty Committees' report findings.</p>	<p>Within 10 business days of receiving the report.</p>
<p>H. Final Recommendations</p> <p><i>**The Final report including the recommendations of the Faculty Committee are provided to the appropriate Faculty Authority for review and implementation of the proposed recommendations.**</i></p>	<p>Submission of final recommendations to the appropriate Faculty authority.</p>	<p>Within 10 business days of receiving the response.</p>

Appendix D: Professionalism Reporting Algorithm

