

UNIVERSITY OF MINNESOTA

SCHOOL OF DENTISTRY

Advanced and Graduate Education Student  
Policies, Codes, and Guidelines

*Revised September 2023*

Policies printed in this handbook should be cross-referenced with the most current policies published on the School's website. Any changes to policies will become effective immediately after they are sent to students' University email accounts.

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## MISSION STATEMENTS OF THE UNIVERSITY OF MINNESOTA AND THE SCHOOL OF DENTISTRY

### UNIVERSITY MISSION STATEMENT

The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world. The University's mission, carried out on multiple campuses and throughout the state, is threefold:

- **Research and Discovery**  
Generate and preserve knowledge, understanding, and creativity by conducting high- quality research, scholarship, and artistic activity that benefit students, scholars, and communities across the state, the nation, and the world.
- **Teaching and Learning**  
Share that knowledge, understanding, and creativity by providing a broad range of educational programs in a strong and diverse community of learners and teachers, and prepare graduate, professional, and undergraduate students, as well as non-degree seeking students interested in continuing education and lifelong learning, for active roles in a multiracial and multicultural world.
- **Outreach and Public Service**  
Extend, apply, and exchange knowledge between the University and society by applying scholarly expertise to community problems, by helping organizations and individuals respond to their changing environments, and by making the knowledge and resources created and preserved at the University accessible to the citizens of the state, the nation, and the world.

In all of its activities, the University strives to sustain an open exchange of ideas in an environment that embodies the values of academic freedom, responsibility, integrity, and cooperation; that provides an atmosphere of mutual respect, free from racism, sexism, and other forms of prejudice and intolerance; that assists individuals, institutions, and communities in responding to a continuously changing world; that is conscious of and responsive to the needs of the many communities it is committed to serving; that creates and supports partnerships within the university, with other educational systems and institutions, and with communities to achieve common goals; and that inspires, sets high expectations for, and empowers the individuals within its community.

[Board of Regents Policy – Mission Statement](#)

### SCHOOL OF DENTISTRY MISSION STATEMENT

The University of Minnesota School of Dentistry advances health through scientific discovery, innovative education, and the highest quality care for all communities.

### Vision

The University of Minnesota School of Dentistry leads the profession into the future of comprehensive healthcare.

### Core Values

- Diversity
- Excellence
- Integrity
- Leadership
- Pursuit of Knowledge
- Respect
- Service to All Communities

### Objectives

- The School of Dentistry recruits, matriculates and retains quality, diverse students to all educational programs.
- The School of Dentistry presents quality educational programs incorporating new and appropriate knowledge, technology and skills. These programs ensure student learning resulting in graduates competent in their respective fields. The goal of the predoctoral dental program is to prepare graduates who possess the knowledge, skills and values to begin the practice of general dentistry.
- The School of Dentistry devotes time and resources to the discovery and dissemination of new knowledge.
- The School of Dentistry serves as a source of continuing education to the dental profession and a resource to the local and global communities.
- The School of Dentistry reviews its strategic direction, consistent with those of the University of Minnesota, on a systematic and ongoing basis including regular assessment of its strategic progress.
- The School of Dentistry provides quality, patient centered, oral health care within its clinics and its community.
- The School of Dentistry supports faculty, staff and students with a congenial, well-functioning and pleasant working environment.
- The School of Dentistry is fiscally responsible.
- The School of Dentistry provides for faculty development through mentoring in teaching, research and service.

<https://www.dentistry.umn.edu/about/our-mission-history>

### ADDITIONAL RESOURCES

Further direction within the profession, the School of Dentistry,

and the University of Minnesota is provided in the most recent versions of these publications:

- [ADA Principles of Ethics and Code of Professional Conduct](#)
- [Minnesota Dental Practice Act](#)
- [University of Minnesota Board of Regents Student Conduct Code](#)
- [School of Dentistry Code of Conduct](#)

### **COMMISSION ON DENTAL ACCREDITATION**

The Commission on Dental Accreditation will review complaints that relate to a program's compliance with the accreditation standards. The Commission is interested in the sustained quality and continued improvement of dental and dental-related education programs but does not intervene on behalf of individuals or act as a court of appeal for treatment received by patients or individuals in matters of admission, appointment, promotion or dismissal of faculty, staff or students.

A copy of the appropriate accreditation standards and/or the Commission's policy and procedure for submission of complaints may be obtained by contacting the Commission at 211 East Chicago Avenue, Chicago, IL 60611-2678 or by calling staff at 1-800-621-8099 extension 4653.

Reviewed 08/18

### **SCHOOL OF DENTISTRY CONTACTS**

For academic assistance and referral to support programs consult with:

Mercedes Porter, DDS, MA  
Assistant Dean for Student & Resident Affairs  
15-106 Moos Health Sciences Tower  
612-624-6960  
[port0194@umn.edu](mailto:port0194@umn.edu)

Karl Self, DDS MBA  
Associate Dean for Academic Affairs  
15-238 Moos Health Sciences Tower  
612-625-2161  
[selfx001@umn.edu](mailto:selfx001@umn.edu)

Thorsten Gruenheid, DDS, PhD, MHA  
Assistant Dean for Advanced Education  
6-320C Moos Health Sciences Tower  
612-625-3903  
[tgruenhe@umn.edu](mailto:tgruenhe@umn.edu)

Shelby LaFreniere  
Graduate Programs and Academic Services Specialist  
15-106 Moos Health Sciences Tower  
612-625-4959  
[shelbyl@umn.edu](mailto:shelbyl@umn.edu)

## **POLICY REGARDING EMAIL**

Email is the University's and the School of Dentistry's **official** means of communication with students. Students are responsible for all information sent via their University email account. Students who forward their University email accounts to another email account are still responsible for all information, including attachments, sent to the account. Students are required to check their University email account daily. Communication from School of Dentistry's officials cannot be sent to any email address other than the official University email address.

## **MENTAL HEALTH RESOURCES**

Students may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance or reduced ability to participate in daily activities. University of Minnesota services are available to assist with addressing these and other concerns. Students can learn more about the broad range of confidential mental health services available on campus via [www.mentalhealth.umn.edu](http://www.mentalhealth.umn.edu). For confidential 24/7 outside support, contact the [Resident and Fellow Assistance Program \(RAP\)](#) at 651-430-3383 or 1-800-632-7643.

Students in the School of Dentistry and their families are also eligible for the Minnesota Dental Association sponsored Dentist Wellness Program, a professional and confidential problem-solving resource provided at no cost to the participant. The Dentist Wellness Program can be accessed by calling the Sand Creek Group, Ltd. at (800) 632-7643, 24 hours a day, seven days a week. In addition, students concerned about their relationship with alcohol or other drugs can contact Dentist Concerned for Dentists (DCD), a confidential support group made up of dentists from around the state who have experienced substance abuse/dependency problems in their own lives and who now serve others as confidential supporters and resources for recovery. DCD can be reached by calling (651) 275-0313.

## **PROFESSIONAL ATTIRE AND GUIDE FOR PERSONAL APPEARANCE**

The personal appearance and demeanor of every person affects, either directly or indirectly, the care and management of patients. The image communicated to patients through personal attire and appearance, behaviors and interactions will influence their perceptions of the quality of care they will receive at the University of Minnesota School of Dentistry and their confidence in the person providing that care. A presentation of professionalism is essential to uphold the standards of excellence set by the University of Minnesota, the School of Dentistry, and the dental profession. All faculty, staff and students are responsible for maintaining a clean, neat and well-fitting wardrobe. Details are described in the School of Dentistry Student Handbook.

**CODES OF CONDUCT, STANDARDS OF PROFESSIONAL  
CONDUCT, CHEMICAL ABUSE AND DEPENDENCY  
POLICIES**

The most current status of the policies in this section can be determined by the online version of these policies.



# UNIVERSITY OF MINNESOTA BOARD OF REGENTS POLICY

## STUDENT CONDUCT CODE

**Adopted:** July 10, 1970

**Amended:** December 13, 1974; March 11, 1994;  
June 13, 2003; December 8, 2006; October 12, 2012;  
June 10, 2016; October 13, 2017

**Technical Change:** July 8, 2015; May 24, 2018

**Supersedes:** (see end of policy)

## STUDENT CONDUCT CODE

### SECTION I. SCOPE.

This policy applies to all students and student groups at the University of Minnesota (University), whether or not the University is in session.

### SECTION II. GUIDING PRINCIPLES.

- (a) The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University.
- (b) The University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.
- (c) The University is dedicated to responsible stewardship of its resources and to protecting its property and resources from theft, damage, destruction, or misuse.
- (d) The University supports and is guided by state and federal law while also setting its own standards of conduct for its academic community.
- (e) The University is dedicated to the rational and orderly resolution of conflict.
- (f) Students are entitled to the rights and responsibilities of other citizens with regard to freedom of speech, peaceable assembly, and right to petition. Students are entitled to exercise their rights to inquire and dissent, speak freely, and peaceably assemble and protest to the extent permissible under both the First Amendment and the Student Conduct Code.
- (g) Students are entitled to due process and procedural fairness protections, including the prompt notification of charges, the opportunity to respond, the right to an advocate of choice, and the right to the resolution of a case within a reasonable period of time.

### SECTION III. DEFINITIONS.

**Subd. 1. Academic Environment.** *Academic environment* shall mean any setting where a student is engaged in work toward academic credit, satisfaction of program-based requirements, or related activities including but not limited to on line courses, learning abroad, and field trips.

**Subd. 2. Campus.** *Campus* shall mean all University premises, including all land, buildings, facilities, and other property owned, possessed, leased, used, or controlled by the University, and adjacent streets and sidewalks.



**Subd. 3. Plagiarism.** *Plagiarism* shall mean representing the words, creative work, or ideas of another person as one's own without providing proper documentation of source. Examples include, but are not limited to:

- copying information word for word from a source without using quotation marks and giving proper acknowledgement by way of footnote, endnote, or in-text citation;
- representing the words, ideas, or data of another person as one's own without providing proper attribution to the author through quotation, reference, in-text citation, or footnote;
- producing, without proper attribution, any form of work originated by another person such as a musical phrase, a proof, a speech, an image, experimental data, laboratory report, graphic design, or computer code;
- paraphrasing, without sufficient acknowledgment, ideas taken from another person that the reader might reasonably mistake as the author's; and
- borrowing various words, ideas, phrases, or data from original sources and blending them with one's own without acknowledging the sources.

It is the responsibility of all students to understand the standards and methods of proper attribution and to clarify with each instructor the standards, expectations, and reference techniques appropriate to the subject area and class requirements, including group work and internet use. Students are encouraged to seek out information about these methods from instructors and other resources and to apply this information in all submissions of academic work.<sup>1</sup>

**Subd. 4. Student.** *Student* shall mean any person taking courses at the University or enrolled in a University program; any person participating as a student in University activities prior to the start of classes; any student who is not enrolled or registered for a particular term but has a continuing relationship with the University; any student who withdraws, transfers, or graduates after an alleged violation of the Student Conduct Code; and any already graduated student when the conduct at issue implicates the student's University degree.

**Subd. 5. Student Group.** *Student group* shall mean any group of students that is or has been registered as a University student group under applicable University policies or procedures.

**Subd. 6. University-Sponsored Activities.** *University-sponsored activities* shall mean any program or event sponsored by the University, including but not limited to those sponsored by student groups, or athletics.

**Subd. 7. Medical Amnesty.** *Medical amnesty* shall align with Minnesota Statutes § 340A.503, Subd. 8, and it shall mean that a student is not subject to Student Conduct Code disciplinary sanctions for underage possession and consumption of alcohol if the student contacts a 911 operator to report that the student or another student is in need of medical assistance for an immediate health or safety concern. To be eligible for medical amnesty, the student who initiates contact must be the first person to make such a report, must provide a name and contact information, must remain on the scene until assistance arrives, and must cooperate with the authorities at the scene. The student who receives medical assistance and up to two students acting in concert with the student initiating contact with a 911 operator shall also be immune from disciplinary sanctions.

**Subd. 8. Assists or Abets.** A student or student group assists or abets prohibited conduct when the student or student group: (a) helps any other person engage in misconduct as defined by the Student Conduct Code; and (b) intends the misconduct to occur or knows that their actions are significantly likely to help the other person to engage in the misconduct.

#### **SECTION IV. DISCIPLINARY OFFENSES.**

Any student or student group found to have committed, attempted to commit, or assisted or abetted another person or group to commit the following misconduct is subject to appropriate disciplinary action under this policy:

**Subd. 1. Scholastic Dishonesty.** Scholastic dishonesty means plagiarism; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using course materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, misrepresenting, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

**Subd. 2. Disruption of the Academic Environment.** Disruption of the academic environment means engaging in behavior that substantially or repeatedly interrupts either the instructor’s ability to teach and/or a student’s ability to learn.

**Subd. 3. Falsification.** Falsification means willfully providing University offices or officials with false, misleading, or incomplete information; forging or altering without proper authorization official University records or documents or conspiring with or inducing others to forge or alter without proper authorization University records or documents; misusing, altering, forging, falsifying, or transferring to another person University-issued identification; or intentionally making a false report of a bomb, fire, natural disaster, or other emergency to a University official or an emergency service agency.

**Subd. 4. Refusal to Identify and Comply.** Refusal to identify and comply means willfully refusing to or falsely identifying one’s self or willfully failing to comply with a proper order or summons when requested by law enforcement personnel, by emergency medical staff responding to an emergency, or by a University employee acting within the purview of his or her job responsibilities.

**Subd. 5. Attempt to Injure or Defraud.** Attempt to injure or defraud means making, forging, printing, reproducing, copying, or altering any record, document, writing, or identification used or maintained by the University when done with intent to injure, defraud, or misinform.

**Subd. 6. Harm to Person.** Harm to person means engaging in conduct that endangers or threatens to endanger the physical and/or mental health, safety, or welfare of another person, including, but not limited to, threatening, harassing, intimidating, or assaulting behavior.

**Subd. 7. Bullying.** Bullying means aggressive behavior directed at another person that causes stress or harm and that is repeated over time, including but not limited to assaulting, defaming, terrorizing, making obscene gestures, or invading privacy.

**Subd. 8. Sexual Harassment, Sexual Assault, Stalking and Relationship Violence.** These disciplinary offenses are defined in Board of Regents Policy: *Sexual Harassment, Sexual Assault, Stalking and Relationship Violence* and the related administrative policy.

**Subd. 9. Disorderly Conduct.** Disorderly conduct means engaging in conduct that incites or threatens to incite an assault or breach of the peace; breaching the peace; obstructing or disrupting teaching, research, administrative, or public service functions; or obstructing or disrupting disciplinary procedures or authorized University activities.

**Subd. 10. Illegal or Unauthorized Possession or Use of Weapons.** Illegal or unauthorized possession or use of weapons means possessing or using weapons or articles or substances usable as weapons, including, but not limited to, firearms, incendiary devices, explosives, and dangerous biological or chemical agents, except in those instances when authorized by law and, where applicable, by proper University authority.

**Subd. 11. Illegal or Unauthorized Possession or Use of Drugs or Alcohol.** Illegal or unauthorized possession or use of drugs or alcohol means possessing or using drugs or alcohol illegally or, where applicable, without proper University authorization.

**Subd. 12. Providing Alcohol to Minors.** Providing alcohol to minors means directly or indirectly providing alcohol to anyone under the legal drinking age.

**Subd. 13. Unauthorized Use of University Facilities or Services.** Unauthorized use of University facilities or services means wrongfully using University properties or facilities; misusing, altering, or damaging fire-fighting equipment, safety devices, or other emergency equipment or interfering with the performance of those specifically charged to carry out emergency services; or acting to obtain fraudulently—through deceit, unauthorized procedures, bad checks, or misrepresentation—goods, quarters, services, or funds from University departments or student groups or individuals acting on their behalf.

**Subd. 14. Theft, Property Damage, or Vandalism.** Theft, property damage, or vandalism means theft or embezzlement of, damage to, destruction of, unauthorized possession of, or wrongful sale or gift of property.

**Subd. 15. Unauthorized Access.** Unauthorized access means accessing without authorization University property, facilities, services, or information systems, or obtaining or providing to another person the means of such

unauthorized access, including, but not limited to, using or providing without authorization keys, access cards, or access codes.

**Subd. 16. Disruptive Behavior.** Disruptive behavior means willfully disrupting University events; participating in a campus demonstration that disrupts the normal operations of the University and infringes on the rights of other individuals; leading or inciting others to disrupt scheduled or normal activities of the University; engaging in intentional obstruction that interferes with freedom of movement, either pedestrian or vehicular, on campus; using sound amplification equipment on campus without authorization; or making or causing noise, regardless of the means, that disturbs authorized University activities or functions.

**Subd. 17. Hazing.** Hazing means any behavior or activity that endangers the physical and/or mental health or safety of an individual (including, without limitation, an act intended to cause personal degradation or humiliation), for the purpose of initiation in, admission to, affiliation with, or as a condition for continued membership in a student group or University athletic team.

**Subd. 18. Rioting.** Rioting means engaging in, or inciting others to engage in, harmful or destructive behavior in the context of an assembly of three or more persons disturbing the peace on campus, in areas proximate to campus, or in any location when the riot occurs in connection with, or in response to, a University-sponsored event. Rioting includes, but is not limited to, such conduct as using or threatening violence to others, damaging or destroying property, impeding or impairing fire or other emergency services, or refusing the direction of an authorized person.

**Subd. 19. Violation of University Rules.** Violation of University rules means engaging in conduct that violates University, collegiate, or departmental regulations that have been posted or publicized, including provisions contained in University contracts with students.

**Subd. 20. Violation of Local, State, or Federal Laws or Ordinances.** Violation of local, state, or federal laws or ordinances means engaging in conduct that violates a local, state, or federal law, or ordinance, including, but not limited to, laws governing alcoholic beverages, drugs, gambling, sex offenses, indecent conduct, or arson.

**Subd. 21. Persistent Violations.** Persistent violations mean engaging in repeated conduct or action in violation of this Code.

## **SECTION V. SANCTIONS.**

Students and student groups found responsible for disciplinary offenses under the Student Conduct Code are subject to sanctions. Factors to consider in determining appropriate sanctions include: the nature of the offense, the severity of the offense, the culpability of the student or student group, the impact on other students or members of the University community, and the opportunity for student development. Separation from the University through suspension or expulsion is a serious sanction that may be appropriate for: repeated violations of the Student Conduct Code, for serious scholastic dishonesty, and for misconduct that constitutes a threat to community safety or well-being (including, but not limited to harm to person and sexual assault), or significantly disrupts the rights of others or the operations of the University.

The University seeks to provide a safe, secure, and healthy environment for all students. Recognizing that the potential application of disciplinary sanctions could deter students from seeking medical attention for themselves or others, the University will provide medical amnesty as defined in Section III, Subd. 7. However, a student requiring emergency evaluation or treatment at a medical facility may be required to complete an alcohol assessment or education program. This is not considered a disciplinary response. Amnesty is granted only for violations of Section IV, Subd. 11, and does not apply to other possible violations of the Student Conduct Code (e.g., property damage or assault) which may have occurred during the time of intoxication. In circumstances involving a student group, the willingness of the student group's members to seek medical assistance for a member or a guest will be viewed as a mitigating factor in the review process for any possible violations.

The following sanctions, which are listed in order of least severe to most severe, may be imposed upon students or student groups found to have violated the Student Conduct Code:

**Subd. 1. Academic Sanction.** An academic sanction means a sanction affecting the course or academic work of

the student for violation of Section IV, Subd. 1.

**Subd. 2. Warning.** A warning means the issuance of an oral or written warning or reprimand.

**Subd. 3. Probation.** Probation means special status with conditions imposed for a defined period of time and includes the probability of more severe disciplinary sanctions if the student or student group is found to violate any institutional regulation during the probationary period.

**Subd. 4. Required Compliance.** Required compliance means satisfying University requirements, work assignments, community service, participating in a restorative justice process, or other discretionary assignments.

**Subd. 5. Confiscation.** Confiscation means confiscation of goods used or possessed in violation of University regulations or confiscation of falsified identification or identification wrongly used.

**Subd. 6. Restitution.** Restitution means making compensation for loss, injury, or damage.

**Subd. 7. Restriction of Privileges.** Restriction of privileges means the denial or restriction of specified privileges, including, but not limited to, access to an official transcript for a defined period of time.

**Subd. 8. University Housing Suspension.** University housing suspension means separation of the student from University Housing for a defined period of time.

**Subd. 9. University Housing Expulsion.** University housing expulsion means permanent separation of the student from University Housing.

**Subd. 10. Suspension.** Suspension means separation of the student or student group from the University for a defined period of time, after which the student is eligible to return to the University. Suspension may include conditions for readmission. The suspension may be deferred when an offense is serious enough to warrant separation from the University, but where the specific circumstances of the case justify special consideration.

**Subd. 11. Expulsion.** Expulsion means the permanent separation of the student from the University.

**Subd. 12. Withholding of Diploma or Degree.** Withholding of diploma or degree means the withholding of diploma or degree otherwise earned for a defined period of time or until the completion of assigned sanctions.

**Subd. 13. Revocation of Admission or Degree.** Revocation of admission or degree means revoking a student's admission to the University or revoking a degree already awarded by the University.

## **SECTION VI. INTERIM SUSPENSION.**

The president or delegate may impose an immediate suspension on a student or student group pending a hearing before the appropriate disciplinary committee (1) to ensure the safety and well-being of members of the University community or to preserve University property, (2) to ensure the student's own physical or emotional safety and well-being, or (3) if the student or student group poses an ongoing threat of disrupting or interfering with the operations of the University. During the interim suspension, the student or student group may be denied access to all University activities or privileges for which the student or student group might otherwise be eligible, including access to University housing or property. The student or student group has a right to a prompt hearing before the president or delegate on the questions of identification and whether the interim suspension should remain in effect until the full hearing is completed.

## **SECTION VII. HEARING AND APPEALS OF STUDENT DISCIPLINE.**

**Subd. 1. Hearing Process.** Any student or student group charged with violation of the Student Conduct Code shall have the opportunity to receive a fair hearing. A finding of responsibility for violation of the Student Conduct Code must be based on a preponderance of the evidence. The president or delegate shall ensure that each campus has a hearing process that includes the following:

- (a) notification of the report and a request to meet;
- (b) an informal meeting to learn more about the steps of the disciplinary process and to share information related to the incident;
- (c) if the student or student group is found responsible, a proposal of an informal resolution that includes the findings and disciplinary sanctions being offered to resolve the incident;

- (d) if the informal resolution is not accepted, a request for a formal hearing in which a panel will determine responsibility and potential sanctions; and
- (e) if the formal resolution is not accepted, a request for an appeal.

In exceptional circumstances where the University determines that an informal resolution is not appropriate, a student's responsibility will be decided through a formal hearing in which a panel will determine responsibility and possible sanctions. In regard to sexual misconduct cases, both the reporting party and the accused student have the opportunity to request a formal hearing and appeal as part of due process.

**Subd. 2. Appeals Process.** To safeguard the rights of students and student groups, the president or delegate shall ensure that each campus has a campus-wide appeals procedure to govern alleged violations of this policy. The appeals procedure shall provide both substantive and procedural fairness for the student or student group alleged to have violated the Student Conduct Code and shall provide for resolution of cases within a reasonable period of time.

The appeals procedure must describe:

- (a) grounds for an appeal;
- (b) procedures for filing an appeal; and
- (c) the nature of an appellate review.

## **SECTION VIII. JURISDICTION.**

**Subd. 1.** The Student Conduct Code shall apply to student and student group conduct that occurs on campus or at University-sponsored activities.

**Subd. 2.** The Student Conduct Code shall apply to student and student group conduct that directly relates to the University's education, services, programs, or rules, including but not limited to scholastic dishonesty, hazing, violation of University rules, and falsification, whether the conduct occurs on campus or off campus.

**Subd. 3.** At the discretion of the president or delegate, the Student Conduct Code also shall apply to off-campus student and student group conduct when the conduct, as alleged, adversely affects a substantial University interest and either:

- (a) constitutes a criminal offense as defined by local, state, or federal law or ordinance, regardless of the existence or outcome of any criminal proceeding; or
- (b) indicates that the student or student group may present a danger or threat to the health or safety of the student or others.

**Subd. 4.** Conduct of a student who is a member of a student group will not be considered to be conduct of the student group unless the facts and circumstances surrounding the conduct suggest that the student group sponsored, organized, or otherwise endorsed the conduct.

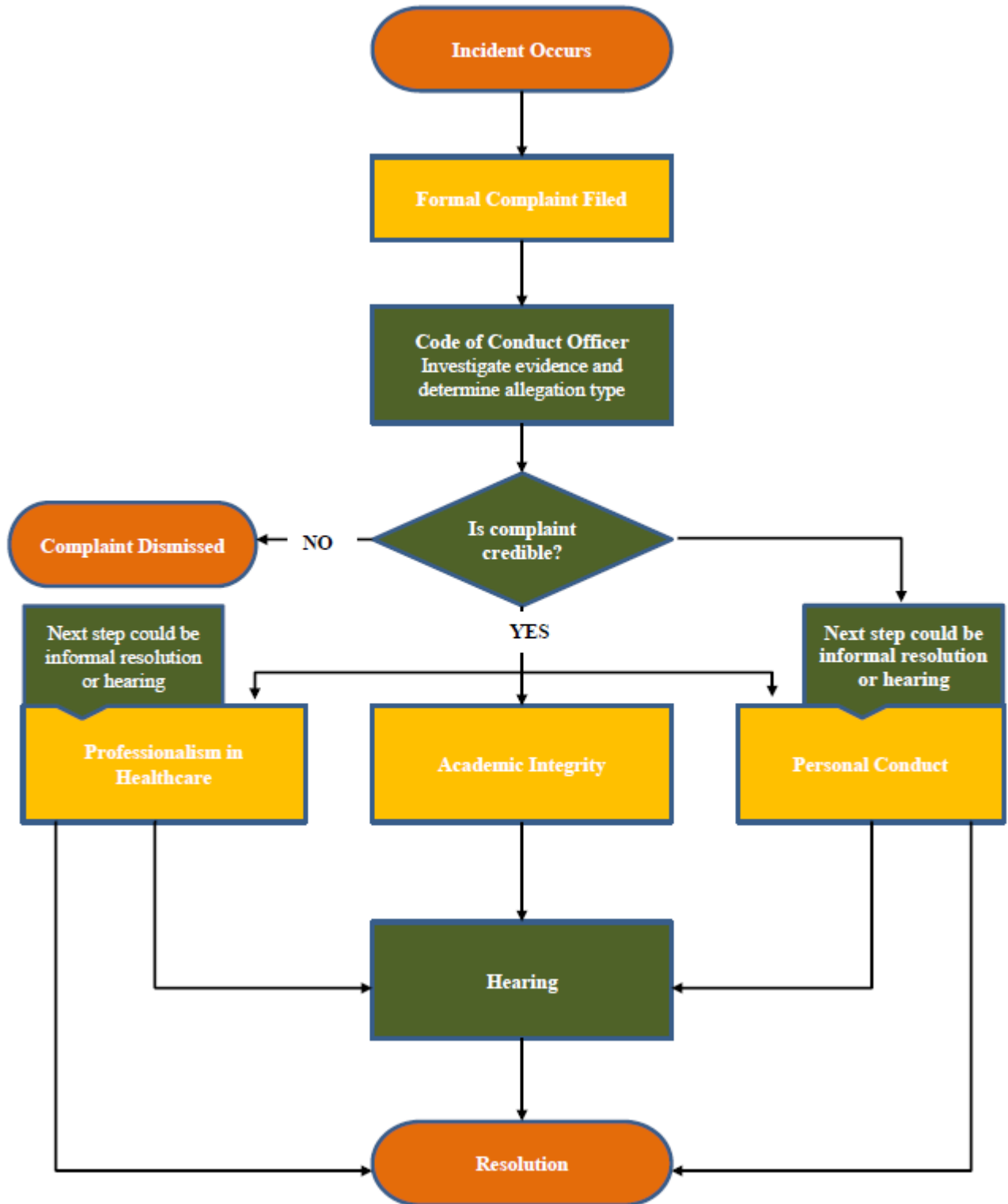
## **SECTION IX. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.**

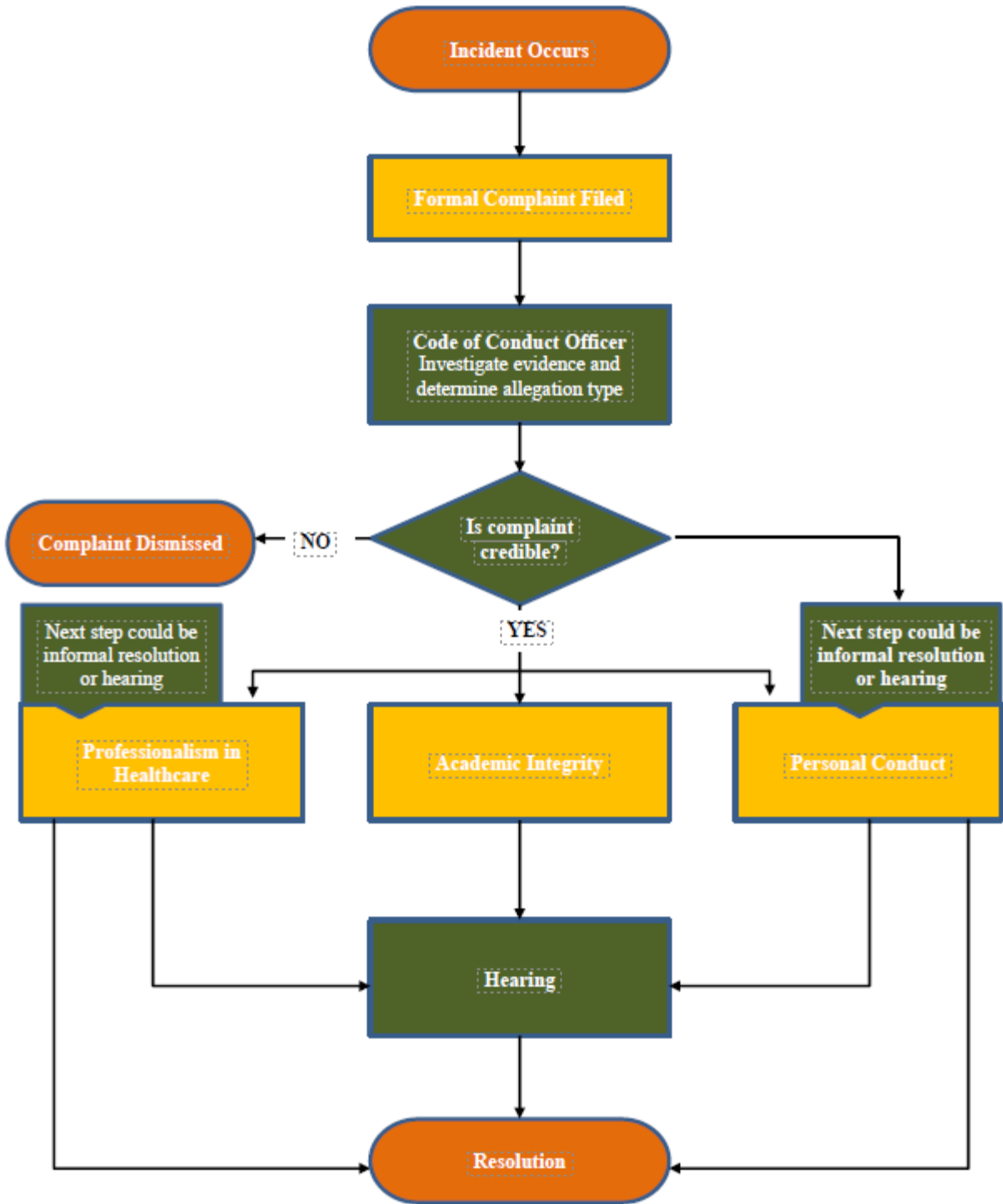
Students are both members of the University community and of the state. Students are responsible to the community of which they are a part, and they are responsible to the academic community of the University. By enforcing the Student Conduct Code, the University neither substitutes for nor interferes with other civil or criminal legal processes. When a student is charged in both jurisdictions, the University will decide on the basis of its interests, the interests of affected students, and the interests of the community whether to proceed with its disciplinary process or to defer action. Determinations made or sanctions imposed under the Student Conduct Code will not be subject to change because criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of the criminal law defendant.

## **SECTION X. DELEGATION OF AUTHORITY.**

The president or delegate shall implement this policy, including publishing and distributing the Student Conduct Code and the procedures governing the student disciplinary process at the University.

## Process for Managing Student Conduct Complaints





Name of Policy: [Student Code of Conduct](#)  
Policy #  
Date Adopted: July 2018  
Date Amended

## Code of Conduct Policy

### I. Purpose:

To describe the types of infractions and resolution process for students enrolled in the School of Dentistry who violate or observe a violation of the School of Dentistry Code of Conduct.

### II. Policy:

#### Types of Infractions

The School of Dentistry believes all oral healthcare providers must possess the highest level of integrity and ethics. School of Dentistry students are expected to govern conduct toward patients, other students, faculty, staff and others with integrity, mutual respect and honor. Students enrolled in a School of Dentistry educational program must follow the guiding principles of the School of Dentistry Code of Conduct as articulated in the *Code of Conduct Student Handbook Statement*.

Alleged violations of the Code of Conduct are defined by three categories: Academic Integrity, Professionalism in Healthcare and Personal Conduct. These categories are defined in the *Code of Conduct Student Handbook Statement*.

In addition to these violations, the Board of Regents policy guides and governs conduct for members of the University community  
[http://regents.umn.edu/sites/default/files/policies/Student\\_Conduct\\_Code.pdf](http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf)

#### Process

Alleged conduct violations are reported using the *Code of Conduct Incident Report*. Faculty, staff and students may submit a report for any other faculty, staff or student in the School of Dentistry. Complaints reported against faculty or staff will be given to the School of Dentistry Office of Human Resources for resolution. Complaints reported against students will be investigated by the School of Dentistry Code of Conduct Officer.

The Code of Conduct Officer will investigate complaints following the steps defined in *Code of Conduct Officer Investigation*. The Code of Conduct Officer will determine the type of allegation and next steps. Professionalism in Healthcare and Personal Conduct violations may be resolved through informal resolution or a hearing. Academic Integrity violations must be referred to a hearing.

Hearings mandated by the Code of Conduct Officer will be conducted following *School of Dentistry Code of Conduct Hearing Rules of Procedure*.



The Office of Academic Affairs will maintain all records associated with investigation and resolution of complaints. The Office of Academic Affairs is also responsible for enforcement of sanctions determined through informal resolution or by a hearing board.

**III. Definition(s):**

Students: Any individual enrolled in any educational program directed by or associated with the School of Dentistry. These include dental, dental hygiene and dental therapy students as well as postgraduate certificate and advanced degree- granting programs.

Policy Owner:	Associate Dean for Academic Affairs
External References:	
Related Policies:	
Approved by:	Council of Chairs
Approval Date:	
Effective Date:	
Revision Date:	

**School of Dentistry**  
**Code of Conduct Statement**  
5/29/2018

The School of Dentistry believes all oral healthcare providers must possess the highest level of integrity and ethics. The trust placed in students as healthcare providers by patients, the University, and communities is a privilege that must be continually fostered. School of Dentistry students are expected to govern conduct toward patients, other students, faculty, staff and others with integrity, mutual respect, and honor.

The guiding principles of the School of Dentistry Code of Conduct are that students and residents;

- Must engage faculty, staff, patients, other students, and the community with respect and dignity in a culturally sensitive manner at all times.
- Must engage patient treatment with the patient's overall health and welfare as the highest priority.
- Must maintain the highest academic integrity when dealing with all didactic and laboratory assignments, examinations, attendance sheets, electronic health record entries, preclinical and clinical grading records, use of equipment and supplies, and academic and patient records.
- Must conduct themselves in a mature, courteous, and professional manner in lecture classes, clinics, and laboratories, outreach facilities, and in other areas of the School of Dentistry and its associated teaching environments.
- Must not behave in a threatening, harassing, or assaultive manner toward other students, faculty, patients, or other individuals or groups encountered while enrolled at the University of Minnesota.
- Must not display or participate in threatening, harassing, or assaultive behavior (perceived or real) that endangers, or threatens to endanger, the health, safety, or well-being of any person or group, regardless of whether it is physical, emotional, psychological harassment, or cyber bullying.

**Academic Integrity** violations of the Code of Conduct include, but are not limited to:

- **Scholastic Dishonesty** – Cheating on written examinations, assignments or practical examinations or engaging in unauthorized collaboration on any academic work.
- **Plagiarism** – presenting the scholarly work of another as one's own.
- **Dishonesty** – of any type
- **Falsifying or Forging** – attempts to forge or falsify patient records and charts, classroom attendance, or student pre-clinical and clinical records.
- **Misrepresenting** – presenting someone else's project or clinical work as one's own.

**Professionalism in Healthcare** violations of the Code of Conduct include, but are not limited to:

- **Patient Management and Conduct**
  - Starting treatment without a start check,
  - Working without supervision,
  - Verbal or sexual harassment, physical abuse,
  - Patient abandonment,
  - Treating patients while under the influence of alcohol and/or illicit drugs,

- Over-treatment of patients.
- **Patient Encounter** – being late for a patient appointment, failing to be present for a patient appointment without an approved absence.
- **Attendance** – failure to follow school attendance policies and procedures, including missing a clinic session without an approved absence.
- **HIPAA** – failing to adhere to regulations specified in the federal Health Insurance Portability and Privacy Act (HIPAA).
- **Patient Appointment** – falsely scheduling a patient appointment.
- **Clinical Protocols** – failure to follow designated clinical protocol and supervisor instructions.
- **Communication** – using inappropriate language with patients, students, faculty, or staff, as well as, using an inappropriate tone/demeanor with patients, faculty, or staff.
- **Social Media** – inappropriate use of any and all forms of social media, which includes using disparaging language, posting or transmitting photographs of patients or teeth, and casting disparaging images of students, faculty, or staff in electronic form.

**Personal Conduct** violations of the Code of Conduct include, but are not limited to:

- **Disruptive Behavior** – in lecture halls, clinics, or laboratories.
- **Abuse of Equipment** – wasting supplies, including the use of School of Dentistry equipment and supplies for non-school purposes.
- **Threatening, Harassing, or Assaultive behavior** – stalking, bullying, sexual assault, or any behavior toward any person or group

In addition to these violations, the Board of Regents Policy guides and governs conduct for members of the student community.

[http://regents.umn.edu/sites/default/files/policies/Student\\_Conduct\\_Code.pdf](http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf)

Specific procedures to follow when Code of Conduct violations occur can be found on the School of Dentistry student intranet.

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<sup>i</sup>“Students and residents” in this document include any individual enrolled in any program directed by or associated with the School of Dentistry. These include dental, dental hygiene, and dental therapy students as well as postgraduate certificate and advanced degree-granting programs.

**Code of Conduct Officer's  
Investigation  
Of Alleged Violations of the Code of Conduct**

When a Code of Conduct Incident Report or other formal complaint is submitted to the Code of Conduct Officer, the Officer is obliged to investigate the matter in a manner that is, to the extent possible, confidential and respectful of the need for individual privacy. This investigation includes confirming that the reported incident falls within the Officer's jurisdiction and any or all of the following:

1. Interviewing the person(s) filing the complaint and the person(s) alleged to have violated the Code
2. Interviewing any witnesses or other persons relevant to the alleged violation
3. Examining any evidence deemed relevant to the alleged violation
4. The Code of Conduct Officer will notify the accused student of the outcome of the investigation.

The initial purpose of the investigation is to determine whether the complaint is credible. For credible allegations that do not require a hearing, the Code of Conduct Officer shall

1. Attempt to resolve the matter through mediation with the parties,
2. Arrive at an independent decision and recommend a disciplinary action to the Associate Dean for Academic Affairs, or
3. Dismiss the Report, when such action is warranted by the facts of the matter.

The Code of Conduct Officer may include probation as part of mediation or disciplinary action. Mediated agreements or recommendations for disciplinary actions or dismissal will be filed with the Associate Dean for Academic Affairs.

The above actions may be appealed to the Associate Dean for Academic Affairs or the Dean of the School of Dentistry.

When a hearing is mandated, the Code of Conduct Officer files the investigative report with the Associate Dean for Academic Affairs. The report is a record of the investigation, including such facts and evidence as has been revealed. The Code of Conduct Officer does not determine if a violation has occurred. The report sets forth the Officer's reasoning that there are two credible arguments to be made and the matter is sufficiently complex that a broader discussion of the merits of the case is needed.

The Code of Conduct Officer will notify the reporting party of the outcome of the matter to the extent permitted under student privacy law.

## Code of Conduct Incident Report

**Today's Date:** \_\_\_\_\_

**Printed name** of individual (s) filing this report:

*Individuals reporting incidents should not conduct investigations or speak to others regarding the incident. The Code of Conduct Officer will lead investigations and contact the reporting party as part of that process.*

Check one of the following to indicate the **Type of Incident**

✓	Type of Incident	Including, but not limited to
<input type="checkbox"/>	Academic misconduct	Cheating, plagiarism, dishonesty, falsifying or forging, misrepresenting another's work as one's own, destroying another's work, copying and/or distributing copies of an examination
<input type="checkbox"/>	Professionalism in healthcare	Concerns regarding patient management and conduct toward patients (starting without a start check, working without supervision, operating under the influence of a chemical substance, failure to follow treatment plan, failure to obtain required procedure checks, ignoring instructions from clinical faculty or staff, etc.), failure to be in clinic as scheduled, HIPAA violations, falsely scheduling appointments, failure to follow clinic protocols, inappropriate communication, inappropriate use of social media
<input type="checkbox"/>	Personal conduct	Disruptive or disrespectful behavior in lecture, clinic or lab, abuse of equipment, threatening, harassing or assaultive behavior to any person or group.

**Date(s) of Incident:** \_\_\_\_\_

**Printed Name(s) of individual being reported:**

**Description:** (Please be as specific as possible. Use additional paper, as needed.)

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## **UNIVERSITY OF MINNESOTA SCHOOL OF DENTISTRY HEARING PROCEDURES**

### **A. INTRODUCTION**

The School of Dentistry Hearing Board assists in implementing the School of Dentistry policy: *Student Code of Conduct* at the University of Minnesota on the Twin Cities Campus. The Board provides a fair hearing to determine if a student's behavior has violated the Student Code of Conduct and to determine what, if any, sanction should be imposed. Complaints of Student Code of Conduct violations are referred to the Board for a hearing by the School of Dentistry Code of Conduct Officer. The Associate Dean for Academic Affairs receives complaints referred to hearing and assists the Hearing Board Chair in managing the hearing process.

### **B. PARTIES TO THE COMPLAINT**

In Hearing Board cases, the School of Dentistry is the formal complainant and the accused student is the individual alleged by the School to be in violation of the Student Code of Conduct. For the purpose of these procedures, the parties are identified as the School Presenter and the Accused Student.

The Associate Dean of Academic Affairs of the School of Dentistry appoints a presenter to bring the School's case before the Hearing Board. If an Accused Student is represented by an attorney, the University's Office of the General Counsel will assign an attorney to serve as the School of Dentistry Presenter. Students may obtain the services of an advocate through the Student Conflict Resolution Center, who can help them prepare and present their case before the Hearing Board. The Director of Student Affairs nor the Code of Conduct Officer may serve as an accused student's advocate or as a presenter at a hearing. However, the Director of Student Affairs may assist students in identifying resources and interpreting policy.

The Accused Student must submit the name of any advocate or attorney to the Hearing Board Chair by the date one week after the hearing notification letter was sent and must give immediate notice to the Hearing Board Chair if there is any change in an advocate or attorney.

### **C. COMMITTEE AND HEARING BOARDS**

Hearing Board members will be appointed from a Hearing Board Subcommittee of the Student Affairs Committee. A faculty chair of the subcommittee will be appointed by the Associate Dean of Academic Affairs and serve for a minimum of two years. The Subcommittee Chair will also serve as Hearing Board Chair. In the case of a conflict of interest, the Hearing Board Chair may delegate that role to another subcommittee member. The Hearing Board Chair does not vote except in the case of a tie. The School of Dentistry Code of Conduct Officer may not serve as Subcommittee Chair or Hearing Board Chair.

The faculty and student members of the Hearing Board Subcommittee will serve on Hearing Boards as voting members. A Hearing Board consists of the Hearing Board Chair and a panel of five (5) voting members. Each Hearing Board will include three faculty and two students. At least one student member

must be from the same program (i.e., doctor of dental surgery, dental hygiene, dental therapy or advanced education) as the Accused Student. If from the same program, student members must be in a different year than the Accused whenever possible.

In addition to Hearing Board members, the Associate Dean for Academic Affairs attends Hearing Board meetings as a non-voting member. The Associate Dean for Academic Affairs or their alternate is present to assist the Hearing Board Chair in managing the hearing process.

Hearing Board members are not advocates for either side. Hearing Boards shall fairly consider the information presented at the hearing and may ask questions of the witnesses. The Hearing Board shall decide whether it is more likely than not that the Accused Student violated the Student Code of Conduct and, if so, what sanctions are appropriate. The Hearing Board may not talk privately (outside of the hearing room) about the complaint with the parties, their advocates or anyone else. All Hearing Board information must remain confidential.

**D. CASES OF HARM TO PERSON OR SEXUAL ASSAULT**

Alleged conduct violations involving sexual assault, sexual harassment, stalking, or relationship violence will be referred to the appropriate University offices for resolution. These alleged violations will not be heard by School of Dentistry Hearing Boards.

**E. THE COMPLAINT AND SCHEDULING**

When a complaint warrants a hearing, the School of Dentistry Code of Conduct Officer forwards the case to the Associate Dean for Academic Affairs for a hearing. The Associate Dean for Academic Affairs will notify the Hearing Board Subcommittee Chair, the School Presenter, and the Accused Student of the statement of the complaint. Where more than one student is alleged to have violated the Student Code of Conduct in a related incident, Hearing Board proceedings for all accused students generally will be held together. The Hearing Board Chair has discretion to hold separate hearings upon a student's request. Hearing Boards will strive to complete a hearing within one month of notification to the Associate Dean for Academic Affairs, not including periods when the University is not in session. The Hearing Board Chair will be responsible for scheduling the hearing, taking into account the parties' academic schedules as appropriate.

**F. STUDENT STATUS DURING THE PROCESS**

An Accused Student is ordinarily allowed to continue the status of a student-in-good-standing pending the outcome of a hearing. However, in certain cases, the Associate Dean of Academic Affairs may suspend a student temporarily, pending the Hearing Board's hearing and decision, as provided in the University of Minnesota Student Conduct Code. In such situations, the School of Dentistry should hold a hearing as soon as possible.

In complaints of alleged scholastic dishonesty, any grade affected will be redacted from the transcript pending a disposition from the Hearing Board.

## **G. NOTIFICATION OF HEARING**

The Hearing Board Chair will send a hearing notification letter to the Accused Student and School Presenter notifying them of the date and time that the hearing has been scheduled. Both parties must respond within one week of receiving the letter with an acknowledgement of or conflict with the hearing date and time.

The parties shall be informed of the names of the Hearing Board Chair and members of the Hearing Board. At that time, either party may ask that the Hearing Board Chair be recused from the hearing due to a direct relationship with the case or being a reporting party or witness. At that same time, either party may challenge Hearing Board member(s) on the ground of conflict of interest or bias. The Hearing Board Chair, after hearing arguments, will decide whether a board member should be removed. If a quorum is lost because of a successful challenge, an alternate Hearing Board Subcommittee member will be appointed from by the Associate Dean of Academic Affairs.

The parties will identify the witnesses and exhibits they intend to present at the hearing a minimum of five (5) academic working days prior to the hearing date. The Hearing Board Chair has discretion to determine what information should fairly be included or excluded. The Accused Student and School Presenter are to submit any list of witnesses and written or physical evidence to the Associate Dean of Academic Affairs's Executive Assistant.

The Accused Student may accept an informal resolution from the School of Dentistry Code of Conduct Officer up to 24 hours prior to the hearing.

## **H. THE HEARING**

### **1.) Decorum**

The Hearing Board Chair is responsible for maintaining an orderly, fair, and respectful hearing. The Chair has broad authority to respond to disruptive or harassing behaviors, including adjourning the hearing or excluding the offending person. All electronic devices must be turned off during the entire hearing.

### **2.) Record of Hearing**

Hearing Board complaints and hearings are closed to the public. Guests may be permitted to attend with agreement from both parties and the Hearing Board Chair. The Office of Academic Affairs shall keep an official recording of each hearing. No camera, TV, or other equipment other than that used by the Office of Academic Affairs to keep the official record of the hearing will be permitted in the hearing room.

A copy of the correspondence, the complaint and response, the exhibits presented at the hearing, the recording of the hearing, and the disposition shall be maintained in a file in the Office of Academic Affairs.

### **3.) Appearance**

If the accused student does not appear in person at the hearing, the Hearing Board may elect to either (1)



vote to suspend the accused student until a hearing is held; or (2) vote to proceed with the hearing in the absence of the student. A student choosing not to appear may provide the Hearing Board with a written statement signed by the student.

**4.) Standard of Proof**

To establish that an accused student violated the Student Code of Conduct, a majority of the Hearing Board must be convinced that it is more likely than not that the student committed the violation.

**5.) Case Presentation**

The parties are expected to be prepared for a clear, complete yet thorough presentation of their cases. The Hearing Board Chair may impose reasonable time limits on any phase of the proceedings. The Hearing Board Chair may, at their discretion, exclude from the hearing witnesses or exhibits not previously identified to the other party.

Each party may offer reliable information relevant to the issue and may object to the information offered by the other party. The Hearing Board Chair has discretion to determine what information should fairly be included or excluded.

Parties should offer witnesses in person whenever possible. Each party is responsible for getting its own witnesses to the hearing. If reasonable efforts to accommodate the schedules are not successful, the unavailability of a witness is not a ground for postponement of the hearing. If an important witness prefers not to testify, the parties may ask the Hearing Board Chair to assist in encouraging the witness to testify. When necessary, witnesses may present information by telephone or written statement. After a party's witness presents information, the other party may ask questions, and then board members may ask questions.

The Hearing Board Chair will exclude witnesses from those parts of the hearing in which they do not testify.

**I. HEARING BOARD DELIBERATIONS AND DECISION**

At the end of the hearing the Hearing Board will retire to deliberate in closed session. The Hearing Board Chair, Associate Dean for Academic Affairs, Hearing Board members, as well as legal counsel to the Hearing Board, may attend.

The task of the Hearing Board is more than determining responsibility; it is one of assessing the qualifications of the accused student (if determined responsible for the conduct) for continuing membership in the School of Dentistry community in light of the individual's record of conduct and responsiveness to opportunities, advice, and counsel. The Hearing Board decides the issues based on the information presented by the parties at the hearing and determines whether the Accused Student more likely than not violated specified subdivisions of the Student Code of Conduct. The Hearing Board must be prepared to make a judgment based on the information provided even if it is not complete.

Each board member will vote on whether or not the accused student is responsible for violating the Student Code of Conduct for each alleged charge. A majority vote of Hearing Board members is required

to find a violation. If an Accused Student is found responsible for one or more items, the Board will next vote on sanctions.

The recommendations of the Hearing Boards will be forwarded to the Associate Dean of Academic Affairs. No one participating in the deliberations will give any party verbal information about the decision or the deliberations prior to issuance of the decision.

**J. APPEAL**

A student who is dissatisfied with the decision of the Hearing Board may file an appeal with the appellate officer according to the Administrative Procedure - Student Conduct Code Procedures: Twin Cities.

**SCHOOL OF DENTISTRY HEARING BOARD  
ORDER OF PROCEEDINGS**

1. Call to order by the Chair.
  - a. Reminder to turn off all electronic devices.
2. Announcements and opening remarks by the Chair.
  - a. Notice that the hearing is being recorded.
  - b. Identification of the parties attending the hearing.
  - c. Review of the standard of proof.
3. Opening the hearing by the Chair.
  - a. Presentation of the complaint and alleged specific rules violation.
  - b. Meeting called to order by the Chair.
4. Accused student responds to the complaint (responsible or not responsible).
5. School Presenter presents opening statement (summary of the alleged violation).
6. Accused student or advocate presents opening statement (summary of defense).
7. School Presenter may call their witness for questioning.
  - a. Accused Student or advocate or their advocate may question the witness.
  - b. The Hearing Board may question the witness.
8. Accused Student or advocate may call their witness for questioning.
  - a. School Presenter may question the witness.
  - b. The Hearing Board may question the witness.
9. Closing comments from the School Presenter.
10. Closing comments from the Accused Student or advocate.
11. The hearing is brought to a close by the Chair.
12. Hearing Board retires to deliberate (closed meeting, not recorded).
  - a. The board finds the accused responsible or not responsible for each Student Code of Conduct subdivision alleged in the complaint.
  - b. If responsible, the Hearing Board decides on appropriate sanctions.
  - c. The Board's decision will be reported to the Associate Dean for Academic Affairs. The Accused Student, Director of Student Affairs and Director, University Office of Student Conduct and Academic Integrity will be copied on the letter.

## Possible Sanctions for Violations of the Code of Conduct

Sanctions will be determined for violations of the Code of Conduct taking into consideration the nature of each infraction and the previous documented history of the student's conduct in the School of Dentistry. The following are possible sanctions that may be imposed. This list is intended as a guideline and does not preclude the imposition of other possible sanctions.

1. A verbal or written censure.
2. Assigning additional studies and/or reports for violations related to classroom or clinical work.
3. Lowering of a grade in a course in which a violation occurred.
4. Assigning an F grade for the course in which a violation occurred. If an F grade is given, the decision must be made whether the F grade can be resolved through additional studies and retaking a final examination, for example, or whether the course must be retaken the next time it is offered.
5. Disciplinary probation without the loss of class participation such as in lectures, laboratories, and clinics.
6. Disciplinary probation with the loss of class participation for a specified period of time, such as in lectures, laboratories, and clinics.
7. Suspension from the School of Dentistry for a specified period of time.
8. Deferring graduation and requiring an additional term or terms of attendance.
9. Expulsion from the School of Dentistry. This could be a permanent expulsion or expulsion for a period, such as a year, and could include certain rehabilitative functions mandated to take place in the interim.

## **SOCIAL MEDIA POLICY FOR STUDENTS, RESIDENTS AND FELLOWS IN THE HEALTH SCIENCES**

Please refer to the Social Media Policy for Health Sciences Students, Residents and Fellows at:  
<https://drive.google.com/file/d/1UGoeZzXV-WRjZ3tVNilei5fk8PpRNOOq/view>

### **SCHOOL OF DENTISTRY STANDARDS OF PROFESSIONAL CONDUCT**

The University of Minnesota and the School of Dentistry are committed to the highest standards of professional conduct and integrity. The values we hold among ourselves to be essential to responsible professional behavior include honesty, trustworthiness, respect and fairness in dealing with other people, a sense of responsibility toward others and loyalty toward the ethical principles espoused by the University and the School of Dentistry. It is important that these values and the tradition of ethical behavior be consistently demonstrated and carefully maintained.

Members of the University community and the School of Dentistry have the obligation to respect and to be fair to faculty, staff, students, and patients, and to foster their intellectual and professional growth and well-being. Members must not engage in, nor permit, harassment, offensive behavior, or illegal discrimination. Members must not abuse the authority they have been given and care must be taken to ensure that any personal relationships do not result in situations that might interfere with objective judgment.

Workplace, patient care and educational experiences must impart ethical standards of professional conduct through example, instruction and clinical practice. Members of the University community and the School of Dentistry are expected to conscientiously fulfill their obligations in the performance of their duties and as part of the University community.

#### **RESPECTFUL WORKPLACE**

The School of Dentistry is proud of the respectful workplace we have developed for faculty, staff, students and patients. We believe our goal is to maintain an academic, work and patient care environment that is positive and respectful of others. Respect is provided to every person regardless of gender, race or color, religious or spiritual beliefs or creed, nationality, sexual preferences or affection, disability, credit or financial situation, public assistance, veteran status, or physical condition. We believe in providing a respectful and positive learning and working environment that maximizes the potential of all individuals.

With these values as the foundation for the School of Dentistry, we have established guidelines, based on University policy, for the behavior of our faculty, staff and students.

We will engage in legal and ethical conduct and will not tolerate offensive behavior. Offensive behavior is defined as action or conduct

that has the purpose or effect of unreasonably interfering with an individual's work, academic or professional performance or creating an intimidating or hostile work environment. Employment and academic experiences will be based on respect and performance.

Explicit or implicit harassment, unwelcome advances, requests for sexual favors, or unwelcome physical conduct of a sexual nature will be promptly addressed. In addition, a hostile workplace, including abusive language, discriminatory or offensive remarks or humor, offensive visual displays, pornography, or aggressive physical contact will be addressed.

## **REPORTING OF WORKPLACE CONCERNS**

The School of Dentistry compliance portal, [SODReport](#), is available to report concerns regarding violations of law or policy, safety concerns or potential misconduct. This reporting tool offers 24-hour, anonymous, confidential reporting and can be accessed by following this link: [z.umn.edu/SODreport](http://z.umn.edu/SODreport) or by calling 1-800-461-9330.

## **EQUAL OPPORTUNITY, DIVERSITY AND AFFIRMATIVE ACTION**

The University of Minnesota and the School of Dentistry are committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation. The University and the School of Dentistry shall seek to:

1. Provide equal access to its programs, facilities, including patient care clinics.
2. Advocate and practice affirmative action in employment including the use of recruiting and search processes to enhance participation of racial minorities, women, persons with a disability, and military veterans.
3. Establish and nurture an environment that actively acknowledges and values diversity and is free from racism, sexism, and other forms of prejudice, intolerance or harassment, for all faculty, staff and students.
4. Provide equal educational access to members of under-represented groups, and develop affirmative action admission programs where appropriate to achieve this goal.

## **DISABILITY SERVICES**

The Board of Regents of the University of Minnesota is committed to provide for the needs of faculty, staff and enrolled or admitted students with disabilities under the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 (ADA). The School of Dentistry will make services available for any faculty member, staff, or student who, through a recent assessment, can document a disability. The Disability Resource Center, with support from the School of Dentistry, will provide appropriate services, including: (1) support, counseling, and information; (2) communications with

medical provider; and (3) assistance with reasonable accommodations.

## **DRUG-FREE WORKPLACE**

Having a respectful workplace also includes providing faculty, staff and students with a healthy and productive environment. We believe that drug and alcohol abuse affect the health, safety and well-being of all employees and students and restricts their ability to perform. This is particularly critical for those who work with and practice dentistry with patients. Therefore, the School of Dentistry supports and follows the University of Minnesota's [Drug Free University](#) policy. This policy prohibits the unlawful possession, use, or distribution of alcohol and illicit drugs by employees. Furthermore, it prohibits the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances in the workplace.

## **SEXUAL HARASSMENT**

Sexual harassment by or toward faculty, staff, students, patients, or members of the University community is prohibited. Prompt and appropriate action will be taken when sexual harassment is discovered. Persons who suspect sexual harassment should report it to an appropriate authority, such as the [School of Dentistry Office of Human Resources](#) (15-116 Moos Tower), [School of Dentistry Office of Student and Resident Affairs](#) (15-106 Moos Tower), School of Dentistry Code of Conduct Officer, Dr. Mercedes Porter ([port0194@umn.edu](mailto:port0194@umn.edu)) or the University's [Office of Equity and Diversity](#) (612-624-9547). A violation of the sexual harassment policy may lead to disciplinary action, up to and including termination of employment or academic dismissal.

Please refer to the [Board of Regents policy on Sexual Harassment, Sexual Assault, Stalking and Relationship Violence](#).

## **RECOURSE AND REPORTING**

It is not necessary for any faculty, staff, or student who feels he or she is the subject of offensive, harassing or discriminatory behavior to handle the matter alone. We encourage you to directly object to any behavior you believe to be offensive. However, if you feel offended by faculty, staff, your boss, peers, or others whom you encounter in the course of your employment or academic studies and do not feel you are able to deal directly with the problem, please consult with [School of Dentistry Office of Human Resources](#) (15-116 Moos Tower), [School of Dentistry Office of Student and Resident Affairs](#) (15-106 Moos Tower), School of Dentistry Code of Conduct Officer, Dr. Mercedes Porter ([port0194@umn.edu](mailto:port0194@umn.edu)), [SODReport](#) (1-800-461-9330), [Student Conflict Resolution Center](#) or the University of Minnesota's [Office of Equity and Diversity](#) (612-624-9547).

All allegations of offensive, discriminatory, or other inappropriate behavior will be responded to immediately. The facts shall determine the response to each complaint and each situation will be handled discreetly. Retaliation and intimidation directed toward anyone who makes a complaint is prohibited. This practice applies to each and

every full- or part-time faculty, staff, student and patient in the School of Dentistry.



## **POLICY FOR DEALING WITH STUDENTS SUSPECTED OF CHEMICAL USE OR ABUSE**

The University of Minnesota and the School of Dentistry strongly support a Drug Free University Policy. For more information on this policy, go to <https://policy.umn.edu/operations/drugfree>

Within the School of Dentistry, violations of this policy will be dealt with as follows:

### **First Offense**

1. Immediately upon detection or suspicion of impairment, or potential for impairment, the student will immediately be dismissed from class or lab. If a student in the clinic is suspected of impairment or potential for impairment, he or she will be removed from the clinic and any appointed patients for the remainder of the day will be canceled or reassigned.
2. Faculty or staff involved in the incident will without delay file a professional behavior report form with the Office of Academic Affairs.

### **Subsequent Offense**

1. Upon detection or suspicion of impairment, or potential for impairment, the student will be immediately dismissed from lab or clinic and a professional behavior report form will be filed with the Office of Academic Affairs.
2. The student will be escorted to Boynton for urinalysis/blood test and for assessment for chemical dependency.
3. If the student is determined to be chemically dependent, the Policy for Students with Chemical Dependency Problems will be enforced.
4. If the student is determined not to be chemically dependent, the matter will be referred to the appropriate committee for disposition.

## **POLICY FOR STUDENTS WITH CHEMICAL DEPENDENCY PROBLEMS**

The University of Minnesota, School of Dentistry is supportive of the efforts of chemically dependent students to become free of their dependency problems. In dealing with chemically dependent students, the School's procedure involves intervention and requiring students to join treatment and rehabilitation programs. This procedure was established to ensure the safety of patients that students may come in contact with and to protect the interests of the patients, students, faculty, and School.

The following steps will be followed as soon as a student has been identified as having chemical dependency problems:

1. The student will be granted a medical leave of absence from the educational program by the Council of Chairs. The request for a leave may be initiated by the student, the Assistant Dean of Student and Resident Affairs, the student's Program Director, or the student's Director of Graduate Studies.
2. The Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies will arrange with the student a program for the treatment of chemical dependency. Usually, the student will be counseled to enroll in an inpatient chemical dependency treatment program and provide the Office of Academic Affairs, Program Director, or Director of Graduate Studies with evidence of successful completion of the program. However, the student may select a different treatment modality contingent on the approval of the Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies.
3. If a student and the Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies do not reach an agreement on a treatment and rehabilitation program, either may request a hearing by the Council of Chairs.
4. The Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies will counsel the student to join a sobriety support group, e.g., Dentists Concerned for Dentists, after completion of the treatment program.
5. The student will be asked to give the Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies permission to solicit letters of reference from counselors, employers, or members of the sobriety support group to monitor the progress of the student's rehabilitation program.
6. The Assistant Dean of Student and Resident Affairs/Program Director/Director of Graduate Studies will make recommendations to the Associate Dean for Academic

Affairs to terminate the student's medical leave of absence and allow the student to resume the program after obtaining evidence with the student's consent that the student has completed the treatment program, is participating in a rehabilitation program, and is also being monitored for continued progress through the Health Professionals Service Program.

7. The Associate Dean for Academic Affairs will determine whether to permit the student to resume the program after obtaining evidence regarding the student's progress in the rehabilitation and monitoring programs that show the student has been chemically free for at least ten weeks.

Updated 07/2009

## **EDUCATIONAL PRIVACY: POLICIES ON ACCESS TO STUDENT RECORDS**

### **Introduction:**

Federal law, state law, and regents' policy govern access to student records. The federal Family Educational Rights and Privacy Act (FERPA) and the State of Minnesota Data Practices Act form the backdrop for the University's policies on access to student records. The [Board of Regents Policy on Student Education Records](#) governs our directory information and access to student records.

**Directory Information:** The following information is public information per [Board of Regents policy](#), unless the student has requested non-disclosure (suppression): name, internet ID, email address, home address, home phone number, University affiliation (student, staff), dates of enrollment (term, year), enrollment status (full/part time, or not enrolled), home campus, registration campus, major, advisor, college/department, class, academic awards and honors, and degree received.

Students have five options for non-disclosure ([suppression](#)):

- suppress ONLY phone numbers
- suppress ONLY addresses
- suppress BOTH phone numbers and addresses
- suppress phone numbers, address, email (“directory suppression”)
- suppress ALL information (“full suppression”)

**Non-Public (Private) Information:** Information other than directory information is not public and may not be released except under certain, prescribed conditions. Non-releasable information includes:

- grades
- courses taken
- schedule
- test scores
- advising records
- educational services received
- disciplinary actions
- social security number
- student ID number

**Students' Rights:** Under FERPA, students have the right to:

- inspect and review information in their education records
- request a correction to their record
- suppress the release of directory information
- view a copy of the institutional policy

Students can file complaints with the US Department of Education, [Family Policy Compliance Office](#).

**General Guidelines:** The following practices by University or School of Dentistry officials will help ensure compliance with the various laws and regulations.

- University officials have 30 days to respond to most legitimate requests.
- Requests for information from the educational record must be referred to the appropriate education record custodian (e.g., registrar's office).
- Information will only be shared within the University and only with those who have a "legitimate educational interest". (Those with a "legitimate educational interest" are university employees who have a need to know to carry out their defined job functions.)
- Grades or graded materials will not be posted or distributed in such a way that one student can see or ascertain the grade of another. ([See detailed information about safe handling of grading information.](#))
- Written permission must be obtained from the student before any nonpublic information can be released.

For further information, contact Adrienne Bricker, Office of the Registrar at 612-626-8410, view the [FERPA tutorial](#), or visit the [One Stop student records privacy page](#).

## **CONFIDENTIALITY OF STUDENT GRADES POLICY**

Under provisions of federal and state legislation, examination scores, course grades, and similar indicators of student academic progress are not "public information." Accordingly, such information cannot be released or made public without written student permission, except for normal educational and administrative uses within the University.

Posting lists of examination scores or course grades, or returning test materials to students in ways which make it possible for students to obtain information about other students' scores or grades is inappropriate.

It is permissible to post grades or return graded materials using an identification number (not social security, student identification number, or clinic identification number) that cannot be associated with an individual student by others who view the materials. It is not permissible to leave graded examination materials with students' names on them in halls or other public places, or in mail folders (unless sealed in an envelope) for retrieval.

## **DISABILITY ACCOMMODATIONS STATEMENT AND PROCESS**

The University of Minnesota values diverse identities and experiences, and honors disability as an important aspect of human diversity. The [Disability Resource Center](#) (DRC) works in partnership with students, faculty, staff and guests of the University to eliminate or minimize barriers and facilitate inclusion on campus.

If a student has or thinks they may have a disability, they should contact the DRC at 612-626-1333 or [drc@umn.edu](mailto:drc@umn.edu) to arrange a confidential discussion regarding reasonable accommodations.

If a student is registered with the DRC and has a current letter requesting reasonable accommodations, they should contact instructors early in the semester to review how accommodations will be applied to the course. Students are responsible for seeking assistance at the University and making their needs known to instructors. Students must contact instructors at least five days in advance of any graded course component to request accommodations and must also follow DRC deadlines for scheduling accommodations.

Additional information is available on the DCR website:  
<https://disability.umn.edu/>

## ACADEMIC DUE PROCESS POLICY

### **Informal Resolution**

Student and/or class complaints about course organization, procedures, or grades should be first brought to the course director for **informal resolution**. If the student is not satisfied with the proposed resolution, then the student may next appeal to the Division Director. If the complaint cannot be satisfactorily resolved with the Division Director, then the student may next appeal to the Department Chairperson. If a mutually agreeable solution cannot be reached, the student may appeal to the Associate Dean for Academic Affairs. This is however the final level for appeal. Grievances involving an instructor's judgment in assigning a grade based on academic performance may be resolved only through the informal resolution described above.

Student appeals, in writing, about adverse promotion decisions (such as suspension, repeat of a year or the dismissal from the School of Dentistry for academic reasons) shall be made to the Student Affairs Executive Sub-Committee. The student has ten (10) working days in which to file an appeal. The Student Affairs Sub-Committee shall then meet and begin its review of the student appeal preferably within ten (10) working days from the time it was filed. The student may request in writing that the appeal hearing be delayed in order for the student to adequately prepare.

### **Formal Process**

The student has a right to file an academic grievance either before or after complaints described earlier in this academic due process policy. Academic grievances are complaints brought by students regarding the provision of educational and academic services affecting their role as students. Academic grievances must be based on a claimed violation of a University rule, policy, or established practice. This policy does not limit the University's right to change rules, policies, or practices. Academic grievances are described by the Conflict Resolution Process for Student Academic Complaints.

A **formal process** of resolution is available for academic grievances. The student must submit a formal complaint in writing to the Academic Complaint Officer of the School, identifying the student grievant, the respondent individual(s) involved, the incident, the rule/policy/established practice claimed to be violated, and a brief statement of the redress sought. Additional steps of the formal process of academic grievance are described fully in the [Board of Regents; Conflict Resolution Process for Student Academic Complaints](#).

*11/12/90 Approved EPC, 7/19/93 Amended EPC, 10/02/95 Amended EPC, 6/1/98 Amended by EPC, 8/1/05 Amended by EPC Updated 07/09*

**CLINIC POLICIES  
AND TRAINING REQUIREMENTS**

**RESIDENT SUPERVISION**

Refer to CODA standards for resident supervision requirements.



## **VACCINATION AND IMMUNIZATION REQUIREMENT FOR LEARNERS IN THE HEALTH SCIENCES**

Please refer to the Academic Health Sciences immunization policy at: [https://drive.google.com/file/d/1uPfn\\_sEXTy0NH68GEOaYB\\_mqMN5aSPwj/view](https://drive.google.com/file/d/1uPfn_sEXTy0NH68GEOaYB_mqMN5aSPwj/view)

### **Required Documented Tests and Immunizations**

Learners must complete the following vaccination requirements prior to their program start date and maintain compliance through the length of the program:

- Measles (rubeola), mumps and rubella (two doses), or positive titre; (University requirement)
- Diphtheria/Tetanus (Td) dose in the last (10) years; (University requirement)
- Chicken pox (varicella) series, documented positive history, or positive titre;
- Pertussis later than 2005;
- Hepatitis B series or documented immunity;
- Annual influenza;
- Evidence of annual tuberculosis test, or in the case of a positive TB test, results of a normal chest x-ray dated after the TB test.

Annual immunization compliance requirements include:

- Annual influenza by November 1<sup>st</sup>
- Evidence of annual tuberculosis test, or in the case of a positive TB test, results of a normal chest x-ray dated after the TB test.

### **Process Required to Obtain Documentation**

Once students are admitted to a Health Sciences school or program, they may download an immunization form at:

<https://boynton.umn.edu/sites/boynton.umn.edu/files/2018-10/AHC-IMMUNIZATION-FORM.pdf>

Students should print and take this form to a health care provider to complete. A health care provider is defined as a physician (MD or DO), nurse practitioner, physician's assistant, pharmacist, or registered nurse. Often the information may be required from multiple providers. In these cases, a separate Immunization Form for each provider is the preferred way to complete the documentation. It is highly recommended that students keep a copy of all documentation.

When the form or forms are completed, students must email them to Boynton Health at [immunizations@umn.edu](mailto:immunizations@umn.edu). When the BHS staff receives a student's information, they will review the form and verify whether immunizations and documentation on the form meet the University standards. Immunization information will become part of a student's confidential Boynton Health medical record.

**Review and verification of immunizations and forms will take Boynton Health staff approximately seven to 10 business days to process. Turning in the form does not confirm that students are in compliance with these requirements. The forms must be processed and verified by Boynton Health before compliance is confirmed.**

If students have **not** completed all requirements, a hold is placed on their records and they will **not** be allowed to enroll in classes and rotations.

Contact Boynton Health at 612-626-5571 or [immunizations@umn.edu](mailto:immunizations@umn.edu) with questions about immunizations.

## **BASIC LIFE SUPPORT TRAINING REQUIREMENTS**

The American Dental Association, Commission on Dental Accreditation and Minnesota Board of Dentistry require all of our students, clinical faculty, and appropriate support staff be able to perform basic life support procedures, including cardiopulmonary resuscitation, and manage other medical emergencies. Current certification by the American Heart Association in Basic Life Support (BLS) for Healthcare Professionals is required in order to work with patients.

Utilizing an American Heart Association accredited instructor, the SoD provides opportunities for faculty, staff, and students to participate in BLS certification courses. Certification is valid for two years and it's the student's responsibility to renew certification prior to expiration. The SoD's Quality and Compliance Officer will send out notices when certification renewals are due.

The certification course teaches the following skills for all age groups: Cardio Pulmonary Resuscitation (CPR), ventilation techniques using a bag valve mask device, oxygen as well as other appropriate airway devices, use of an automated external defibrillator (AED), relief of a foreign-body airway obstructions (FBAO), risk factors for cardiovascular disease, signs and symptoms of a heart attack and stroke and actions to be taken for these emergencies, the chain of survival, and the importance of early access to the EMS system.

For further clinical requirements related to CPR and Basic Life Support training, refer to the [School of Dentistry Clinic Manual](#), as appropriate. Questions related to documentation of BLS certification should be directed to: Catherine Harding, School of Dentistry, Associate Quality and Compliance Officer, 612-626-7820.

## **RADIATION HYGIENE AND PROTECTION**

Due to continuing concern about the use and potential harmful effects associated with exposure to ionizing radiation, the Policy for the Use and Control of Ionizing Radiation for Diagnostic Imaging at the School of Dentistry has been developed with an overall objective to implement those procedures that will assure the safe and effective use of ionizing radiation producing equipment and to minimize, as much as possible, any potential risks to patients, students, faculty and staff. Residents are required to comply with all relevant aspects of this policy. Control and use of radioactive materials for research purposes, i.e., radioactive isotopes and radiopharmaceuticals, is specifically excluded from the scope of this policy.

See Section O of the [School of Dentistry Clinic Manual](#) for further details of this policy.

## **BLOODBORNE PATHOGENS/INFECTIOUS DISEASES AND HAZARDOUS MATERIALS MANAGEMENT**

In order for health care workers to be knowledgeable of the latest infection control techniques and hazardous materials management information, they must be continually trained. Through this training health care workers learn how to minimize or eliminate their exposure to bloodborne pathogens and how to safely handle and dispose of hazardous materials. The School of Dentistry provides training regarding bloodborne pathogens/infectious diseases and hazardous materials management for residents, faculty and staff.

Training for residents shall be provided as follows:

- before beginning provision of clinical care;
- at least annually thereafter;
- annual training for all residents shall be provided within one year of their previous training.

The School of Dentistry will provide additional training when changes, such as modification of tasks or procedures or institution of new tasks or procedures, affect the occupational exposure of health care workers. The additional training may be limited to addressing the new tasks or procedures.

See Section L of the [School of Dentistry Clinic Manual](#) for further details of this policy.

## **REQUIREMENTS FOR PARTICIPATION IN CLINICAL ACTIVITIES**

### **REQUIRED MINNESOTA BACKGROUND STUDY**

According to the [Minnesota Statute S144.0574](#), a passing background study is required in order to have direct patient contact. All School of Dentistry students, graduate students and residents who provide services that involve direct contact with patients in health care facilities licensed by the Minnesota Department of Health has a background study conducted by the State. The background study covers a wide range of criminal offenses, and agency findings related to maltreatments of children or vulnerable adults. An individual who is disqualified from having direct patient contact as a result of the background study, and whose disqualification is not set aside by the Commissioner of Health, will not be permitted to participate in a clinical placement in licensed care facilities. Failure to participate in a clinical placement required by the academic program could result in ineligibility to qualify for a degree in School of Dentistry programs.

### **REQUIRED TRAINING FOR COMPLIANCE WITH HIPAA REGULATIONS**

All students enrolled or participating in any of the University of Minnesota Academic Health Center programs are required to complete appropriate training associated with the Health Insurance Portability and Accountability Act (HIPAA). Required training modules include:

- [\(HIP016\) HIPAA Training](#)
- [\(ISA17\) University Information Security Awareness Training](#)

Training must be completed within the first 90 days of enrollment/participation. Training modules can be accessed through Training Hub at <https://training.umn.edu/>.

Failure to complete the necessary modules will result in an interruption in clinical or research activities. Please direct any questions or concerns to Catherine Harding, School of Dentistry, Associate Quality and Compliance Officer, 612-626-7820.

## MOONLIGHTING

### **Purpose**

The purpose of this policy is to provide advanced education students/residents/fellows (i.e., trainees) and their programs with information on managing moonlighting. If statements in this policy contradict that of immigration law or the Minnesota Board of Dentistry, their policies take precedence.

Advanced education programs in the School of Dentistry require full-time commitment to the program to provide students the best opportunity for academic and clinical success. Thus, students in these programs are strongly encouraged to devote their efforts to their programs. However, the School of Dentistry recognizes that some students may experience difficulties that could be ameliorated by working outside of the program (i.e., moonlighting). Thus, the School of Dentistry's policy on advanced education students moonlighting is that directors of the student's program determine whether the benefits of allowing the student to moonlight outweighs the costs to the student's academic and clinical development.

Residents/fellows in programs supported by Graduate Medical Education must follow the University of Minnesota Medical School, Graduate Medical Education Administration's Moonlighting Policy (<http://z.umn.edu/gmeimmoonlighting>). All advanced education residents/fellows must follow the CODA policy on Resident Duty Hours Restrictions.

Commission on Dental Accreditation  
Evaluation & Operational Policies & Procedures

### Z. POLICY ON RESIDENT DUTY HOURS RESTRICTIONS

The Commission on Dental Accreditation (CODA) acknowledges the revised resident duty-hours and supervision requirements of the Accreditation Council for Graduate Medical Education (ACGME). Recognized by the United States Department of Education, the Commission is the specialized programmatic accreditor for dental and dental-related programs. Institutions in which both graduate medical education residencies and advanced dental education programs reside may determine that CODA-accredited programs should comply with ACGME standards. It is the policy of the Commission that the institution should consider the accreditation standards of the Commission on Dental Accreditation for hospital-based dental residency programs and consider whether the ACGME requirements are in the best interests of patient safety, resident education and the CODA-accredited programs.

Reaffirmed: 8/15; Adopted: 8/11

## **Policy**

Trainees must not be required to engage in moonlighting activities. Moonlighting activities are not included as part of the educational program in the residency/fellowship programs. Moonlighting activities must not conflict with the scheduled and unscheduled time demands of the educational program and its faculty.

All moonlighting, regardless of where it occurs, must be approved by the program director before beginning the moonlighting activity and must be reported to the program director on a schedule determined by the program director.

### *Visas Requirements*

Trainees on F-1 or J-1 visas are not permitted to be employed outside the residency/fellowship program. Therefore, they are not allowed to moonlight.

A trainee on an H-1B visa wishing to moonlight must obtain a separate H-1B visa for each facility where the trainee works outside the training program.

## **Trainee Responsibility**

1. Trainees who wish to moonlight are required to obtain prospective permission from their program directors.
2. Trainees must report all moonlighting hours to their program director on a regular basis determined by the program director.
3. Failure to comply with these requirements may be grounds for dismissal from the program.

## **Program Responsibility**

1. Program directors determine the moonlighting policy for all trainees within their program.
2. Program directors will acknowledge in writing their awareness that a trainee is moonlighting and will include this information in the trainee's file.
3. Program directors may withdraw permission to moonlight for any given trainee or group of trainees if those activities have been shown to interfere with their performance.

## **Professional Liability**

Moonlighting activities and any activities that are not part of the formal education program are not covered under the University of Minnesota professional liability policy.

## **Other Requirements**

Trainees engaged in moonlighting activities must be properly licensed and credentialed as determined by the organization where they moonlight.

Approved by the Advanced Education Committee on 5/6/13

## **RECOMMENDATIONS AND REFERENCES FROM FACULTY AND STAFF**

Students in advanced and graduate education programs often request that a faculty or staff member serve as a reference or provide a letter of recommendation to potential employers or other entities. The Family Educational Rights and Privacy Act (FERPA) grants students the right to consent to disclosure of his or her records

(<https://onestop.umn.edu/terms-and-conditions/student-records-privacy>).

Thus, School of Dentistry faculty and staff must not disclose any information about the student without the student's permission.

Directory/public information, such as the student's dates of enrollment, enrollment status, and degrees received, can be disclosed if the student has **NOT** chosen to suppress his or her public information. To determine whether a student (current or previously graduated) has suppressed his or her public information, search MyU/Key Links/Reporting Center/Graduate Education Student Report for Majors/Minors.

To disclose FERPA protected information, the student must submit a [Reference Request and Student Authorization](#) form signed by the student to the School of Dentistry. This form indicates what information can be released by whom, for what reasons, to whom, and for how long the authorization is valid.

At no point can any medical information be released as all medical information is protected by the Health Insurance Portability and Accountability Act (HIPAA). Medical information may include reasons why a leave of absence was taken or any restrictions the student had or has during their program or beyond. If a faculty or staff member is asked about a leave that was taken during the program, he or she must not provide any specific information. If the student has authorized release of this information, the faculty or staff member can state that the leave was requested by the student and that it was approved by the program. If the student has not submitted an authorization form, refer the potential employer or program director to the student for more details.

Disciplinary information can only be shared if the student gives permission for this on the authorization form. This includes the information that there is no disciplinary information on the student. If the student does not indicate on the authorization form that disciplinary information can be released, then the faculty or staff member should inform the potential employer or program director that the student must give permission for the School of Dentistry to release that information.

It is the responsibility of the faculty or staff member providing information about a student to be sure that the student has agreed in writing using the Reference Request and Student Authorization form for information to be disclosed. Upon receipt of a signed Reference Request and Student Authorization form from a student, a copy should be placed in the student's program record and the original should be sent to the School of Dentistry's Office of Human Resources.

For a quick and easy way to help understand these rules, review the FERPA tutorial at:

<https://training.umn.edu/courses/10104>



For additional information or resources on privacy information, review  
**Balancing Student Privacy and School Safety: A Guide to the  
*Family Educational Rights and Privacy Act* for Colleges and  
Universities**

<https://www2.ed.gov/policy/gen/guid/fpco/brochures/postsec.html>

Approved by the Advanced Education Committee on 5/6/13

## **Dental Resident/Fellow Benefits Policies and Procedures**

### **STIPENDS**

Dental resident/fellow stipends are determined each year. Dental residents/fellows on a sponsored scholarship through a government, military, or other group may not receive a stipend; see the program offer letter for details. Dental residents/fellows will receive a paycheck every other week, see [payroll calendar](#) for pay dates. The School of Dentistry receives the paychecks every other Wednesday. If they are not picked up by the end of Wednesday, then they will be mailed to the dental resident/s or fellow's home address on file. The resident/fellow may also opt for direct deposit, which is highly encouraged because of the potential for lost/missing or misdirected mailings. The paycheck will be deposited into your account on the Wednesday payday.

Please be aware that taxes will be deducted from your base salary (annual stipend) as it is considered earned/worked income.

**Any tuition, benefits, or University of Minnesota fees will be charged to the student accounts and Residents/fellows are responsible for paying the balance of those charges by the due date.**

For problems, questions, or concerns, regarding your student account please contact your program coordinator. For questions on your stipend, you can contact the School of Dentistry Human Resources office at [sodhr@umn.edu](mailto:sodhr@umn.edu) For questions about taxes or with holdings from your stipend please contact central payroll at 612-624-8647.

### **BENEFITS COVERAGE**

Currently, all dental resident/fellows benefit plans are provided through the [Office of Student Health Benefits](#). Dental residents/fellows are instructed prior to the start of their program and during their benefits orientation how to enroll or opt out of benefits coverage. Having benefits coverage is required in all programs, so proper timely enrollment or opt out procedures and forms must be completed within the first month of the program. **All questions regarding benefits plans, options, and procedures should go directly through the Office of Student Health Benefits:** 612-624-0627 or 1-800-232-9017, website: <http://www.shb.umn.edu/> and email address: [umshbo@umn.edu](mailto:umshbo@umn.edu).

## **Dental Resident/Fellow Leaves and Absences**

Students who are enrolled in clinical residency programs and/or receive fellowships, stipends, or other financial aid from the University must talk with their program Director and/or department, Student Financial Aid, International Student and Scholar Services, or a One Stop counselor to learn about any effects a leave of absence will have on completion of their residency training and financial support or student loan repayments. Students who receive funding from a source outside of the University should talk with that agency to learn about any effects a leave of absence might have.

During the period of an approved leave of absence, students may not use student amenities and services, laboratories, equipment, and other research facilities, nor may they use the services for faculty or administrative staff, except as needed to return to active status.

### **PERSONAL TIME OFF**

Dental residents/fellows are allowed no more than **10 days** of personal time off (sick or vacation) per year. You may have to talk to each program (some may allow more for interviewing, etc. in which case they need to update their process to be a max of 10 days). The number of days allowed for personal time off is determined by the resident's program. Each program may have a different calendar year used for tracking personal time off. Each program should communicate the number of days for personal time off and the program's vacation calendar to the dental resident/fellow at the start of their program. In the event of illness, the affected dental resident/fellow is responsible for notifying the faculty member of the affected clinic(s) and the program director's office as soon as the dental resident/fellow knows that the illness will cause an absence from clinical responsibilities. Personal time off for illness will be approved only for legitimate illnesses. A physician's note may be requested to support the dental resident/fellow's request for illness related personal time off.

The dental resident/fellow must give written notice of intent to use personal time off to their program director at least four (4) weeks in advance, except for illness or unusual circumstances. Any time taken beyond the amount of personal time off available will be unpaid time and may require an extension of the program in order to fulfill program length requirements.

### **Program Responsibility**

Programs are responsible for tracking personal time off to ensure that program requirements are met prior to graduation from the program.

### **FAMILY MEDICAL LEAVE ACT (FMLA)**

Dental residents and fellows may be eligible for the Family Medical Leave Act (FMLA). Dental residents/fellows must check with their program and the School of Dentistry Human Resources Office to determine if they qualify. Leave shall not exceed 12 weeks in any 12-month period. The 12-month period is based on a fiscal year (07/01-06/30). The dental resident/fellow **may** qualify for Short Term and/or Long-Term Disability benefits. Please refer to the Office of Student Health Benefits website for [Disability Benefits](#) for further information.

Programs and the dental residents/fellows are responsible for tracking time off for all leaves to ensure that program requirements are met prior to graduation from the program.

## **PARENTAL LEAVE**

### **Policy**

The University provides parental leave for eligible employees related to the birth, adoption, or gestational surrogacy of children in accordance with Minnesota statutes and the provisions of this policy. Parental leave provided by this policy is available to an employee on a 50% appointment or greater and is becoming a parent through birth, adoption, or gestational surrogacy or to an employee who is a gestational carrier. You can access the University's Parental Leave for Employees policy at:

<https://policy.umn.edu/hr/parentalleave>

For learners with less than a 50% appointment, the program's vacation policy applies. Program Directors may allow for additional time off in accordance with CODA standards and the learners' progress in the program. The duration of the residency/fellowship/graduate program may be extended by the duration of the leave as necessary to meet all CODA requirements.

The dental resident/fellow must give notice, in writing, of their intent to use parental leave and other leaves used in conjunction with parental leave to their program director at least four weeks in advance, except under unusual circumstances.

Upon request to the program director, eligible dental residents/fellows may take up to six weeks paid leave related to the birth, adoption or gestational surrogacy of a child. The parental leave may begin at the time requested by the dental resident/fellow, but not more than two weeks prior to the due date or adoption event, and no later than thirteen weeks after the birth or adoption event. In the case where the child must remain in the hospital longer than the birth parent, the leave must begin no later than thirteen weeks after the child leaves the hospital. Dental residents/fellows are encouraged to talk to their program director regarding taking parental leave as soon as reasonably practical. This leave must be taken without interruption and during the dental resident/fellow term of appointment and will not be charged against the dental resident/fellow's personal time off allocation.

Dental residents/fellows who have personal time off available can use this time at the end of the paid six weeks for birth or adoption event. Personal time off may also be used in conjunction with short-term disability (if applicable) during parental leave. If more than six weeks is desired for parental leave, this must be requested/approved/arranged with the program director and the School of Dentistry Human Resources office.

### **Clarification**

Holidays that occur during a leave of absence run concurrent with the leave and are not in addition to the leave.

### **Dental Resident/Fellow's Next Steps\***

\*Work with your Program Director and the School of Dentistry Human Resources office to determine

- what type of paperwork needs to be completed;
- if you qualify for Family Medical Leave Act (FMLA) and how it will be managed;

- how your pay will be impacted;
- how your benefits need to be coordinated; and
- if your leave will extend your time in the program.

#### **Program Responsibility**

Programs are responsible for tracking time off for all leaves to ensure that program requirements are met prior to graduation from the program.

Programs must forward documentation to the School of Dentistry Human Resources office as well as the Associate Dean for Academic Affairs for leaves that extend the dental resident/fellow's time in the program.

#### **MEDICAL LEAVE**

The dental resident/fellow must give notice, in writing, of intent to use medical leave to their program director at least four (4) weeks in advance, except under unusual circumstances. This leave would count against the dental resident/fellow's personal time off allocation and any time taken for the leave beyond the amount of personal time off available will be unpaid time.

A dental resident/fellow shall be granted, upon request to the program director, a leave of absence for their serious illness/injury that requires an absence of greater than 14 days.

#### **Clarification**

Holidays that occur during a leave of absence run concurrent with the leave and are not in addition to the leave.

#### **Dental Resident/Fellow's Next Steps\***

\*Work with your Program Director and the School of Dentistry Human Resources office to determine

- what type of paperwork needs to be completed;
- if you qualify for Family Medical Leave Act (FMLA) and how it will be managed;
- how your pay will be impacted;
- how your benefits need to be coordinated; and
- if your leave will extend your time in the program.

#### **Program Responsibility**

Programs are responsible for tracking time off for all leaves to ensure that specialty board requirements are met prior to graduation from the program.

#### **PERSONAL LEAVE**

The dental resident/fellow must give notice, in writing, of intent to use personal leave to their program director at least four (4) weeks in advance, except under unusual circumstances. A dental resident/fellow may be granted, upon request to the program director, a personal leave of absence. This leave would count against the dental resident/fellow's personal time off allocation and any time taken for the leave beyond the amount of personal time off available will be unpaid time.

### **Dental Resident/Fellow's Next Steps\***

\*Work with your Program Director and the School of Dentistry Human Resources office to determine

- what type of paperwork needs to be completed;
- how your pay will be impacted;
- how your benefits need to be coordinated; and
- if your leave will extend your time in the program.

### **Program Responsibility**

Programs are responsible for tracking time off for all leaves to ensure that program requirements are met prior to graduation from the program.

### **PROFESSIONAL/EDUCATIONAL LEAVE**

Each program will determine if they provide additional Professional/Educational leave days for their dental residents/fellows to be used for continuing education, conferences, or for job interviews. Programs will communicate with their dental residents/fellows at the start of their program if they offer or allow additional Professional/Educational days. The number of days may vary, but will most likely not exceed 3 days per year. Leave must be scheduled at least one month in advance and is on a first come, first served basis. To schedule leave, dental residents/fellows need to contact their program coordinator (or the program director) with the days off they are requesting. The request will be reviewed and approved/denied by the program director. Parental/medical leave is covered in the sections below.

### **RESTRICTIONS TO LEAVE AND PERSONAL TIME OFF**

- Because of the clinic/hospital/rotation coverage needed, it may not be possible for **more than two dental residents/fellows to be gone at the same time**. This includes all potential reasons for absence such as personal time off, parental leave, educational leave, interviews, and testing dates. Exceptions to this includes: Clinic closure dates, required conferences, or if more than two dental residents/fellows are gone for illness or medical leave.
- Dental residents/fellows may not request or will not be approved leave during certain rotations, exams or evaluation periods, or other specific time periods that are stated by the program. These specific times should be communicated by the program to the dental residents/fellows at the beginning of the academic year each year; exceptions may be made for illness or medical leave.
- The programs recognize the need for dental residents/fellows to schedule interviews for post- residency practice or academic positions. Interview time must be scheduled to create minimal disruption to the dental resident/fellow's schedule. Each dental resident/fellow who needs to go for an interview must make arrangements with their program support person and the residency program director to take time off to interview.
- Personal leave and personal time off do not roll over into the next academic year. The academic year will differ between programs but the first day of the 'year' should be the first day of the dental resident/fellow's appointment.

- Total number of days off (e.g., vacation, meetings, courses, etc.) must be within each Program's guidelines.
- Any exceptions need approval by the residency program director.

#### COVERAGE OF RESPONSIBILITIES WHEN ABSENT

Although dental residents/fellows are assigned to one clinic/hospital site at a given time, in some programs dental residents/fellows may be pulled from one site to cover another when the necessity arises. In the event of prolonged absences (LOA, medical leave, etc.), the chief resident (if applicable), program director and program coordinator are responsible for rotations and should work out a coverage schedule between locations.

#### WORKERS COMPENSATION BENEFITS

When a dental resident/fellow is injured during the program, the dental resident/fellow **MUST** take immediate steps to report the injury to the University. If this process is not followed, workers compensation benefits could be denied or delayed. **YOU MUST COMPLETE THE UNIVERSITY OF MINNESOTA WORKERS COMPENSATION EMPLOYEE INCIDENT REPORT; IT DOES NOT MATTER WHERE YOU WERE INJURED (OTHER SITES), THE U OF M FORM NEEDS TO BE COMPLETED.** The policy and procedures on how to complete these forms is located at:

<https://policy.umn.edu/hr/workerscomp> Link to the online form to be completed:

<https://policy.umn.edu/sites/policy.umn.edu/files/forms/froi.pdf>

The forms can now be completed online or can be printed out and completed. Please note and document the claim # in case an issue occurs. Please work with your program director or program coordinator to complete this process. If you receive a bill for the injury, please work with the School of Dentistry Human Resources office to help resolve the issue.

#### EFFECT OF LEAVE OF ABSENCE ON PROGRAM COMPLETION

In addition to the policy regarding Family and Medical Leave, the program must follow guidelines to meet required program standards and other requirements to ensure all aspects of the program are completed prior to graduation and obtaining the Certificate or Master's Degree for program.

It is the responsibility of the department, program, and dental resident/fellow to be in compliance with the program requirements concerning the effect of leaves of absence on satisfying the criteria for completion of the training program prior to granting leave.

The Specialty Board requirements should be reviewed by the program director and dental resident/fellow to assure that the dental resident/fellow understands that they have to make up the time away from training. If an extended leave results in the requirement for additional training in order to satisfy program requirements, financial support for the additional training time must be determined when arrangements are made for the leave and the makeup activity. Any leave that is more than 14 days in duration will most likely result in an extension of the program in order to fulfill all program requirements.

Approved by the Advanced Education Committee on 5/6/13