

## DPHS Professionalism Plan

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Duke University School of Medicine and the Department of Population Health Sciences (DPHS) are committed to cultivating a respectful, inclusive and healthy work environment for faculty, staff, students, trainees, volunteers, patients, and visitors. Professionalism is a core value and expectation for each of us, and is demonstrated through our words and actions.

### ***Description of Professionalism***

Actions that embody professionalism in the academic School of Medicine community have been described in the [Duke University Faculty Handbook](#) and include these behaviors:

- Adheres to high ethical and moral standards
- Conducts academic work with integrity, including adhering to institutional and federal policies on responsible conduct of research and conflict of interest
- Demonstrates intellectual honesty
- Evinces core humanistic values, including honesty and integrity, caring and compassion, altruism and empathy, collegiality, respect for others, and trustworthiness
- Takes personal action to support equity and inclusion
- Is able to subordinate own interests to the interests of others when appropriate
- Exercises accountability individually and for colleagues
- Demonstrates a lifelong commitment to excellence
- Reflects upon actions and decisions
- Assures one's own fitness for duty
- Exhibits a commitment to scholarship and to advancing their field
- Deals appropriately with high levels of complexity and uncertainty

To provide additional context for professionalism in DPHS, we outline additional guiding principles as we further operationalize efforts to support professionalism.



### **Guiding Professionalism Principles for DPHS**

- ✓ Uphold professionalism in interactions between all members of the department.
- ✓ Encourage a culture of feedback and when possible, restorative justice, meaning that to the extent possible, the goal is to preserve our working relationships and collectively grow and improve.
- ✓ Acknowledge the power differentials among rank within and between faculty, staff and trainees, and identify feedback mechanisms that ensure honesty, safety, and appropriate response.
- ✓ Equip faculty and staff with skills to uphold and enact department standards.
- ✓ Encourage a proactive approach to soliciting feedback from all groups.

**Promoting a Culture of Professionalism within DPHS**

1. Provide regular training opportunities to support faculty and staff in ability to give and receive feedback, communicate crucial concerns, and repair relationships.
2. Identify and train faculty and/or staff who serve in roles of resource people (see Appendix B for resource people role descriptions and individuals currently in those positions). The faculty resource person is the Vice Chair for Faculty Development and Affairs and the staff resource person is appointed by the department Chair (with input from the DPHS Leadership Team).
3. Establish and communicate clear processes for reporting concerns and incidents. The chart below summarizes the recommended DPHS reporting process. DPHS faculty and staff can also use the Duke-wide reporting avenues as outlined in the DPHS DEI reporting document (Appendix A).
4. Faculty and staff resource people are able to assist at any time during the process (see Appendix C for list of individuals currently in leadership roles listed below), including reaching out the Vice Chair of Diversity, Equity, and Inclusion (DEI) for issues specific to DEI.

DPHS encourages giving and receiving feedback, communicating crucial concerns, and repairing relationships directly. If those direct conversations are not resolving the issue, the reporting processes below should be utilized.

<b>YOUR ROLE</b> 	<b>Staff</b>	<b>Faculty</b>	<b>Trainee</b>	<b>JF-27<sup>1</sup></b>	
<b>Reporting Behavior on</b> 					If you don't feel comfortable reporting to those listed above, report to:
<b>Staff</b>	Your Supervisor	Their Staff Supervisor	Director of Graduate Studies	Your Faculty Supervisor	Chief Administrative Officer
<b>Faculty</b>	Your Supervisor	Vice Chair of Faculty Development	Director of Graduate Studies	Your Faculty Supervisor	Vice Chair of Faculty Development or Department Chair
<b>Trainee</b>	Director of Graduate Studies	Director of Graduate Studies	Director of Graduate Studies	Director of Graduate Studies	Vice Chair of Education
<b>JF-27<sup>1</sup></b>	Their faculty supervisor	Their faculty supervisor	Director of Graduate Studies	Their faculty supervisor	Vice Chair of Education

5. Clearly outline levels of reporting and how concerns get escalated based on acuteness of incident<sup>2</sup> and number of concerns.
  - First incident – conflict resolution coaching, share resources, build skills
  - Second incident – FYI report to one of the following DPHS leaders –

<sup>1</sup> Postdoctoral Fellows, Research Associates, Research Scientists, Research Scholars, Associates in Research, and Visiting Graduate Student Positions

<sup>2</sup> Anything defined as egregious (a violation that rises above the level of internal mediation alone due to legal or compliance implications) goes directly to Managing Director and Department Chair to determine response.

- Staff – Chief Administrative Officer
  - Faculty – Vice Chair Faculty Development
  - Students/Trainees – Vice Chair Education
  - JF-27 (*Postdoctoral Fellows, Research Associates, Research Scientists, Research Scholars, Associates in Research, and Visiting Graduate Student Positions*) – Chief Administrative Officer
- Third & future incidents go directly to the Chief Administrative Officer and Chair to determine response.
6. Identify and document required remediation steps for those on receiving end of concerns.
- Faculty and Staff resource people are not permitted to keep confidential case reports, but can keep internal records of disputes and resolutions.
  - Vice Chair of Faculty Development keeps records of disputes and resolutions.
  - Documented remediation records are for internal department accountability; staff records are not part of their HR personnel file unless the incident is determined egregious, there are multiple incidents, or their supervisor determines an official HR performance improvement or corrective action plan is needed.
7. DPHS is committed to annually -
- Reporting (via the State of the Department) on the effectiveness of these processes; adjust when needed.
  - Discussing (during faculty annual reviews) how faculty are checking in with staff and what they are learning, and how well processes are working and what they would like to learn more about and improve.
  - Discussing (during staff annual reviews) how teams are functioning and what areas need to be improved with regard to feedback and culture of communication and professionalism.
  - Conducting a climate survey to review how faculty and staff view climate and areas of success and improvement.

## Appendix A

# Resources for Confidential & Non-Confidential Reporting of Discrimination & Microaggression

### FOR STUDENTS

*After 5pm: Dean on Call:*  
984-287-0300

**Office of Student Conduct**  
919-684-6938; conduct@duke.edu

**Office of Institutional Equity**  
919-684-8222; oie-help@duke.edu

### FOR STAFF

*Misconduct by a student:*

**Office of Student Conduct**  
919-684-6938; conduct@duke.edu

*Concerns about Duke employee or vendor:*

**Office of Institutional Equity**  
919-684-8222 or oie-help@duke.edu

### FOR FACULTY

*Misconduct by a student:*

**Office of Student Conduct**  
919-684-6938; conduct@duke.edu

*Concerns about Duke employee or vendor:*

**Office of Institutional Equity**  
919-684-8222 or oie-help@duke.edu

#### CONFIDENTIAL RESOURCES

**Student Health**  
919-681-9355

**Counseling and Psychological Services**  
919-660-1000

**The Women's Center**  
919-684-3897 or 919-970-2108; wchelp@duke.edu

**Clergy** (acting as clergy in professional role at Duke)

**Ombudspersons University: Ada Gregory**  
919-620-2444/919-257-0160; ada.gregory@duke.edu

**Ombudspersons School of Medicine: Jean Spaulding, MD**  
919-668-3326; ombudsman@mc.duke.edu

**Durham Crisis Response Center (DCRC)**  
919-403-6562 (English); 919-519-3735 (Spanish);  
crisisline@durhamcrisisresponse.org

#### CONFIDENTIAL RESOURCES

**Personal Assistance Service (PAS)**  
919-416-1727; dukepas@duke.edu

**Clergy** (acting as clergy in professional role at Duke)

**Durham Crisis Response Center (DCRC)**  
919-403-6562 (English); 919-519-3735 (Spanish)  
crisisline@durhamcrisisresponse.org

#### CONFIDENTIAL RESOURCES

**Personal Assistance Service (PAS)**  
919-416-1727; dukepas@duke.edu

**Ombudspersons University: Thomas Metzloff**  
919-613-7055; metzloff@law.duke.edu

**Ombudspersons School of Medicine: Laura Svetkey**  
919-681-7788; laura.svetkey@duke.edu

**Clergy** (acting as clergy in professional role at Duke)

**Durham Crisis Response Center (DCRC)**  
919-403-6562 (English); 919-519-3735 (Spanish);  
crisisline@durhamcrisisresponse.org

#### NON-CONFIDENTIAL RESOURCES

**DPHS Vice Chair for Diversity, Equity and Inclusion**  
919-613-5950; tom.lakin@duke.edu

**DPHS Staff Mediator, Kate Ehle**  
kate.ehle@duke.edu; 919-681-6801

**HR Staff & Labor Relations, University:**  
919-684-2808

**Duke Health**  
919-684-5557

**Office of Audit, Risk and Compliance (OARC)**  
919-613-7630; oarc@duke.edu

**Duke Health Integrity Line & Duke Speak Up Program**  
1-800-826-8109

#### NON-CONFIDENTIAL RESOURCES

**DPHS Vice Chair for Diversity, Equity and Inclusion**  
919-613-5950; tom.lakin@duke.edu

**Vice Chair for Faculty Development Karen Steinhauser**  
karen.steinhauser@duke.edu; 919-668-2148

**Faculty Advancement**  
919-684-4997; ovfa@duke.edu

**Office of Audit, Risk and Compliance (OARC)**  
919-613-7630; oarc@duke.edu

**Duke Health Integrity Line & Duke Speak Up Program**  
1-800-826-8109

#### Student Sexual Misconduct Policy

Prohibits sexual misconduct committed by students.

#### Policy on Prohibited Discrimination, Harassment, and Related Misconduct

Prohibits discrimination, harassment, and related misconduct committed by faculty, staff, contractors, members of the Duke community, and third parties.

## **Appendix B**

### ***Staff & Faculty Resource People Roles Responsibilities & Expectations***

DPHS has established faculty and staff resource people roles to 1) assist individuals within the department to address and resolve conflicts, and 2) identify underlying concerns and serve as a resource for suggesting suitable, additional resources for support either within or outside of Duke. The goal of both the staff and faculty resource people is to prevent damaging and divisive conflicts from erupting by providing an effective mechanism to safely voice concerns and seek solutions.

Specific responsibilities and expectations are to -

- Provide conflict resolution support as a designated resource for DPHS staff and faculty
- Listen, assess situations and guide individuals toward effective problem resolutions and options.
- Consult with department leaders, including the Chair, to establish coordinated efforts to minimize the costs of workplace conflict
- Distribute vetted resources and tools to aid DPHS staff and faculty in fostering a culture of respect, collaboration and problem resolution (e.g. OIE, Learning & Development, Coaching, Staff and Labor Relationship representative for staff, etc).
- Perform duties such as data collection, records maintenance and report preparation.

Four ethical principles underlie the work of the resource people.

- independence
- impartiality
- confidentiality\*
- informality

***Karen Steinhauser*** will serve in the *faculty resource people* role, working closely with the appointed *staff resource people*, ***Kate Ehle***, and DPHS leadership to address concerns and resolve conflict in a thoughtful, confidential manner. Although not termed an ombuds, for legal reasons within Duke, the charge of the resource people role is informed by guidance the Internal Ombudsman Association (IOA) whose board president, Mauricio Ramos describes the role as, “akin to a conflict coach, helping all parties define the problem, understand each other's concerns and explore options that may resolve or manage the dispute.”

DPHS supports the staff resource people role by covering 5% FTE (~2 hours/week) of the appointed staff person. The staff resource people is selected by the Chair (with input from the DPHS leadership team), and serves a term of 12 months. Renewal is possible and contingent after a satisfactory 12-month review by DPHS leadership.

\*Those serving in the role of resource people are permitted to offer confidentiality with regard to not sharing personal information, or details outside of the conversation thus making it a safe space to air concerns and have a resource people serve as a sounding board without concern that information will be shared. This applies only to conversations that do not include concerns about issues such as sexual misconduct, or any form of harassment or professional misconduct prohibited by the university. If such concerns are raised any

faculty member or staff in a supervisory position is compelled to submit a report to OIE. Only an official University *Ombuds* is permitted to hold confidentiality in such instances. The University Ombuds is the only university official, other than EAS, who is permitted to hear information regarding breaches of professional conduct who is not compelled to report such information, in an effort to offer university employees options of reporting or other action without being compelled to do so.

## APPENDIX C

### Department Chair:

- Lesley Curtis, PhD – [lesley.curtis@duke.edu](mailto:lesley.curtis@duke.edu) – 919-668-2148

### Director of Graduate Studies:

- Asheley Skinner, PhD - [asheley.skinner@duke.edu](mailto:asheley.skinner@duke.edu) - 919-668-6360

### Chief Administrative Officer:

- Michael Fern, PhD – [michael.fern@duke.edu](mailto:michael.fern@duke.edu) – 919-681-6801

### Vice Chair of Faculty Development:

- Karen Steinhauser, PhD – [karen.steinhauser@duke.edu](mailto:karen.steinhauser@duke.edu) – 919-423-5684

### Vice Chair of Education:

- Hayden Bosworth, PhD - [boswo001@duke.edu](mailto:boswo001@duke.edu) – 919-286-6936

### Vice Chair of Diversity, Equity, and Inclusion:

- Tomi Akinyemiju, PhD - [tomi.akinyemiju@duke.edu](mailto:tomi.akinyemiju@duke.edu) – 919-613-5950

### Staff Resource Person:

- Kate Ehle – [katelyn.ehle@duke.edu](mailto:katelyn.ehle@duke.edu) – 919-681-6801

If you need help identifying the correct supervisor or appropriate contact to reach out to, feel free to consult the staff resource person.