



Reports of Suspected Misconduct

Senior Leader: Medical School Dean

Responsible University Officer: Associate Dean for Faculty Affairs, Medical School

Policy Owner: Associate Dean for Faculty Affairs, Medical School

Policy Contact: Office of Faculty Affairs (OFA), ms-ofa@umn.edu or (612) 624-5442

PROCEDURE STATEMENT

There are several ways for individuals to report suspected misconduct. The University of Minnesota provides a 24 hour reporting hotline and website that anyone can use to report known or suspected misconduct or non-compliance involving the University. Reports may be made anonymously. The University refers to this [anonymous reporting system as the UReport](#). Complaints involving allegations of discrimination or harassment may also be made formally or informally to the University's Equal Opportunity and Title IX office (EOT), to a member of the Medical School Human Resources team, or to any employee in a supervisor or manager-level position.

ONCE A COMPLAINT IS MADE

UReports

UReports are received by the [Office of Institutional Compliance \(OIC\)](#) and shared with the UReport Consultative Team (UCT). The UCT is composed of the University's chief compliance officer, the University's chief auditor, the vice president for Human Resources, and the deputy General Counsel. The consultative team makes an initial determination whether or not further follow-up is warranted. In cases where the consultative team determines that follow-up is warranted, the consultative team will assign the UReport to an appropriate central office, existing process or position in the University system for review.

For UReports assigned by the consultative team to the Medical School, UReports are first sent to the Medical School's Director of Human Resources for review. The Director of Human Resources then assigns the UReport for investigation by the following designated Medical School officer (DMSO)/leader(s):

- For reports alleging faculty misconduct: Associate Dean for Faculty Affairs, Office of Faculty Affairs and/or Sr. Associate Dean for Graduate Medical Education, as appropriate;
- For reports alleging student misconduct: Assistant Dean for Student Affairs, Office of Student Affairs;
- For reports alleging resident or trainee misconduct: Sr. Associate Dean for Graduate Medical Education, Office of Graduate Medical Education;
- For reports alleging staff member misconduct: HR Managers as appropriate, in consultation with the Director of Human Resources
- For reports involving issues related to diversity, equity and inclusion, the Director of Human Resources will also notify and engage the Vice Dean for Diversity, Equity and Inclusion.

The findings of all UReport-related reviews are reported back to the UCT, which monitors the review process and findings.

Other Reports

Complaints or reports of misconduct may also be received by EOT, OHR, Medical School HR leaders or any senior departmental leader. Once a report is received, it shall be shared with the Medical School's Director of Human Resources, who then assigns the investigation to the appropriate school official (if needed), following the same process as identified above for UReports.

Medical School leadership expects all faculty, staff, and students to cooperate fully with any investigatory process and to maintain appropriate confidentiality of any report or complaint.

The findings of all misconduct investigations are reported back to the Director of Human Resources, who monitors and tracks the investigation process, findings, and associated remediation.

The Medical School follows and complies with University and OIC policies. Specifically, faculty, staff, and students are expected to comply with the following:

- [Administrative Policy: Reporting Suspected Misconduct](#)
- [Administrative Policy: Retaliation](#)

Research Non-Compliance and/or Misconduct

All reports related to research non-compliance and/or misconduct are managed and investigated by the appropriate team within the Research and Innovation Office (RIO), with notice to or assistance from the Medical School Director of Human Resources. UReports of any research misconduct received via email or other method are sent directly to RIO. For reports involving issues related to research misconduct, the Director of Human Resources will also notify and engage the Vice Dean for Research.

FRAMEWORK FOR PROFESSIONALISM

The Medical School applies the [Vanderbilt University Medical Center framework for professionalism](#). The pyramid illustrates a tiered intervention approach to support the pursuit of professional accountability, including the identifying, addressing, and measuring misconduct and unprofessional, disruptive behavior.

The Medical School is committed to fostering a supportive environment that includes a model for guided interventions, as well as policies, procedures, training, and resources to address and eliminate disruptive behavior. The Medical School encourages the reporting of misconduct, to help us uncover and tackle allegations of misconduct, and evaluate patterns and areas of cultural issues within our academic medicine environment.

PROCEDURE FOR HANDLING OF EACH MISCONDUCT REPORT RECEIVED

1. Reports of misconduct involving a Medical School faculty member, staff member, student or resident is received from one or more of the following areas:
 - a. Medical School leader, supervisor or manager
 - b. Office of Human Resources (OHR) or a Medical School human resources team member
 - c. Office of Institutional Compliance (OIC)
 - d. Equal Opportunity & Title IX (EOT)

- e. Research & Innovation Office (RIO)
2. Report is shared with the Director of Human Resources (HR).
3. The Director of HR reviews the report and determines which office(s) and designated medical school officer should be involved based on the role of the subject of the report.
4. The appropriate office will review the report, and determine the level of intervention:
 - a. Informal discussion / coaching
 - b. Awareness intervention
 - c. Guided intervention by authority
 - d. Disciplinary intervention
5. The designated medical school officer will conduct the investigation and intervention.
 - a. If additional allegations arise during the investigation, the designated medical school officer will determine the appropriate next steps.
6. The designated medical school officer will submit a written response to the misconduct report with an update of the intervention, and a synopsis or outcome of the findings to the Director of Human Resources. The Director of Human Resources will submit the written response to the appropriate University office.
 - a. The report will include findings as to whether the allegation is substantiated. The report will identify the relevant policies that were violated.
 - b. For UReports, the response will be written using the UReport Summary form (UM 1844).
 - c. For reports outside of the UReport system, the response will be written using the Investigation Summary (Non-UReport) form (UM 1845).
7. The appropriate University office will review the report, and may ask for clarification, more information, or further investigation, as needed, before accepting the report, and closing the case.
8. The university office will provide updates and responses to the reporter (if requested).

Timeline for Investigatory Process

The length of the review or investigatory process depends upon many factors, such as the nature of the concern, the complexity of the issue, the number of people involved, and the type and extent of documents or other evidence involved. All investigatory processes are typically completed within 75 days, but some circumstances may require a longer review period.

Institutional accountability

The Medical School Director of Human Resources submits regular updates to the Dean and Executive Vice Dean, along with other appropriate members of the Dean's senior leadership team, and/or the University RIO, OIC, OHR or EOT.

RESOURCES

- Report violations of rules, regulations and policies by phone at 1-866-294-8680 or [online](#).
- [Central Offices that Address Concerns of Misconduct](#)
- [Procedure flowchart](#)
- [Medical School Policy: Mistreatment of Medical Students Policy](#)
- [Investigation and UReport summary template](#)
- [Non-UReport investigation summary template](#)

CONFIDENTIALITY

Misconduct investigations are confidential; anyone who has or receives information about, or participates in, an investigation will keep that information confidential unless disclosure is specifically allowed or required by law and/or other University policies.

To protect the integrity of the investigation process, all those involved in these investigations should not talk about an investigation or the facts of the matter with anyone other than their legal or employment representative while the investigation is ongoing.

Records of UReports, discussions, investigations, or disciplinary matters will be maintained in a confidential manner, and will only be disclosed to the extent permitted and/or required by State or Federal law and/or University policy.

HISTORY

Approved and Enacted by the Medical School:

July 2021

Revised

September 2021

Revised

January 2023 (process moved to Office of Compliance); April 2023 additional substantive revisions.

Revised

August 2024 (process moved to OFA/Human Resources)