



BOUNDARY VIOLATIONS

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EXAMPLE OF A PROFESSIONAL EXPECTATIONS FORM FOR RESIDENTS

(Modify for your own environment with input from your institution's human resources, risk management, or legal team)

Professional Expectations

Purpose: Successful participation in graduate medical education depends on many factors, central to which are Accreditation Council for Graduate Medical Education (ACGME) core competencies: patient care, medical knowledge, practice-based learning and improvement, interpersonal and communication skills, professionalism, and systems-based practice.

Professionalism includes a variety of behaviors and attitudes consistent with and committed to institutional policies and procedures, and to departmental, divisional, and program-specific expectations. This includes treating everyone (colleagues, faculty, students, patients, families, staff, and guests) with respect and demonstrating integrity and honesty.

This document, "Professional Expectations," is intended to provide written guidelines that outline expectations and potential disciplinary consequences for activities, practices, or behaviors of graduate medical trainees that are consistent with professional behavior. The document also outlines potential disciplinary consequences for actions, practices, or behaviors that are not in line with these expectations.

Resources and techniques dedicated to developing a greater understanding of these expectations and supporting successful performance include but are not limited to:

- New graduate medical trainee orientation
- House staff manual
- Graduate medical education web page

We expect residents to

- Treat everyone with respect (e.g., colleagues, faculty, students, patients, families, guests)
- Demonstrate integrity and honesty
- Ensure patient safety
- Regularly review performance evaluations with program director



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EXAMPLE OF A PROFESSIONAL EXPECTATIONS FORM FOR RESIDENTS (CONT'D)

Other resources

- The graduate medical education office
- The office for institutional equity
- Personal assistance program
- The disability office
- Faculty, attending, and peer feedback

Standards of conduct and performance:

General standards of conduct and performance apply throughout the hospital and affiliated educational sites. Violations of and/or failure to adhere to these standards may result in warning (oral or written), corrective action and suspension, or even termination.

These standards are minimum guidelines for conduct and work performance of residents. These are not all-inconclusive but rather representative of behavior and performance that are and are not acceptable. The standards may be supplemented by additional regulations when residents are subject to professional accreditation, state regulations, or licensure, and to the requirements of individual departments and programs.

All incoming residents must read and acknowledge by their signature that they have received a copy of the Professional Expectations.



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- Key: Recommended Disciplinary Action**
 O: Oral warning (written documentation filed in the training record)
 W: Written warning
 CA/S: Automatic corrective action including suspension
 T: Termination

Professional Expectations: Standards of Conduct and Performance for Graduate Medical Trainees:

| STANDARD | Example of a VIOLATION | 1 st event | 2 nd event | 3 rd event | 4 th event |
|----------|------------------------|-----------------------|-----------------------|-----------------------|-----------------------|
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Performance

| | | | | | |
|--|--|------|---|------|---|
| 1.1 Perform assigned tasks safely and competently to maximize patient health and safety, in accordance with performance expectations | 1.1a Fail to perform task(s) adequately as requested, either because of unwillingness to perform the task or carelessness in carrying out the assignment | O | W | CA/S | T |
| 1.2 Demonstrate commitment to excellence and to continuous learning, improvement, and professional development | 1.2a Being in an unfit condition to perform the duties of the job, including working under (or suspected of working under) the influence of drugs or alcohol | CA/S | T | | |

Compliance with Policies & Procedures

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|--|--|------|------|------|---|
| 2.1 Understand and comply with all university, hospital, or affiliated premises, policies, and procedures, i.e., clinical, administrative, and safety policies | 2.1a Fail to complete required safety training | W | CA/S | T | |
| | 2.1b Fail to complete required HIPAA/confidentiality training | W | CA/S | T | |
| | 2.1c Fail to maintain current BLS or ACLS, as required by department/program | W | CA/S | T | |
| | 2.1d Fail to maintain current NALS, PALS, ATLS (when required by department/program) | W | CA/S | T | |
| | 2.1e Fail to complete required ACGME competency modules | W | CA/S | T | |
| | 2.1f Engage in unapproved "moonlighting" activities | CA/S | T | | |
| | 2.1g Fail to have an annual PPD with results recorded at EOHS | O | W | CA/S | T |
| 2.2 Comply with all federal, state, and accreditation standards regulating the provision of professional services | 2.2a Fail to maintain a valid medical license on file with the Office of GME | CA/S | T | | |



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Compliance with Policies & Procedures (cont'd)

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| | 2.2b Conduct any activity that violates federal or state standards regulating the provision of professional services, or violates regulations affecting continued licensure, commissioning, or certification in a profession | T | | | |
| | 2.2c Commit boundary violations and/or have sexual relationships with patients | T | | | |
| | 2.2d Self-prescribe or prescribe for family members, in violation of policies of the state medical board | W | CA/S | T | |
| 2.3 Maintain duty hours in compliance with institutional, ACGME, and RRC policies | 2.3a Work in excess of 80 hours per week averaged over 4-week period; work in excess of call more frequently than 1 night in 3 averaged over a 4-week period; fail to take one 24-hour period in 7 days away from the hospital averaged over a 4-week period (unless program has received ICGME and ACGME exemption) | W | CA/S | T | |
| 2.4 Protect confidentiality of sensitive information. Such information should not be repeated, discussed, or removed from the work area, except for legitimate and authorized work reasons | 2.4a Use another's computer sign-on or computer access code or provide the use of an individual's sign-on code without proper authorization to gain unauthorized access to confidential or privileged information | W | CA/S | T | |
| | 2.4b Behave in a way that compromises another's safety or privacy, or discloses confidential university information, including the access of medical records from curiosity rather than for participation in a patient's medical care, or a designated QI, or an educational function | CA/S vs. T depends on intent | | | |
| 2.5 Demonstrate honesty and integrity | 2.5a Falsify university, hospital, or affiliated records, including the intentional failure to record time or medical records accurately | T | | | |
| | 2.5b Fail to demonstrate commitment to ethical principles | CA/S | T | | |
| | 2.5c Fail to appropriately disclose relationship/gifts from industry, including pharmaceutical representatives, to avoid real or perceived undue influence | W | CA/S | T | |



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Availability for Work

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| 3.1 Attend work as assigned; arrive on time fully prepared to begin work; remain throughout the work period and until work is completed (patients seen, notes written or dictated, messages completed); request authorization for time away from work according to established procedures, if there is a need to leave the workplace | 3.1a Violate attendance policy involving unscheduled absence or tardiness for whatever reason, including the failure to report to work or leave work before conclusion of the work period; absences may render a graduate medical trainee unable to complete a program within the training contract and may result in a trainee being ineligible to sit for boards, depending on specific rules of the relevant RRC | O | W | CA/S | T |
| 3.2 Notify the supervisor well in advance of any unscheduled absence in accordance with departmental guidelines | 3.2a Fail to inform supervisor when leaving duty or fail to report back | W | CA/S | T | |
| | 3.2b Be absent without notice (provided in accordance with program procedures) for three consecutive workdays, constituting voluntary resignation | T | | | |
| 3.3 Arrange coverage for patient follow-up when absent | 3.3a Fail to arrange patient coverage when absent | O | W | CA/S | T |
| 3.4 Answer pages and respond to emails in timely fashion | 3.4a Fail to respond to pages or email promptly when on duty and on call (typically within 15 minutes for pages and within 24 hours for email) | O | W | CA/S | T |
| | 3.4b Fail to use available systems to designate vacations, time away, etc. | O | W | CA/S | T |

Teamwork & Workplace Behavior

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|--|--|------|------|---|--|
| 4.1 Communicate effectively and demonstrate caring and respectful behaviors when interacting with patients, families, staff, and colleagues; work collaboratively with all co-workers, including those from other disciplines, to provide patient-focused care | 4.1a Use inappropriate behavior and/or profane, abusive, or loud/boisterous language toward patients, families, staff, supervisor, or co-workers | W | CA/S | T | |
| | 4.1b Threaten or endanger any person's life or health, deliberately or through carelessness | CA/S | T | | |



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Teamwork & Workplace Behavior (cont'd)

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|---|---|------|---|------|---|
| 4.2 Demonstrate respect and courtesy towards fellow staff members, faculty, students, patients, and visitors; demonstrate sensitivity and responsiveness to patients and co-workers' with regard to culture, age, gender, and/or disabilities | 4.2a Fail to interact appropriately with anyone on university, hospital, or affiliated premises, including patients, their families, students, visitors, or other employees | CA/S | T | | |
| | 4.2b Violate another's privacy or dignity, including sexual harassment or insensitivity to culture, age, gender and/or disabilities | CA/S | T | | |
| | 4.2c Have a sexual relationship with anyone with whom one has supervisory or educational evaluative responsibilities | CA/S | T | | |
| 4.3 Be productive and use all available time to accomplish expected work tasks; accomplish personal business outside of work times and/or in scheduled time-off | 4.3a Fail to complete work assignments in a timely fashion; allow personal activities to interfere with professional responsibilities | O | W | CA/S | T |
| 4.4 Use available resources to resolve work-related problems | 4.4a Fail to seek assistance from university or hospital resources (e.g., human resources, physicians assistance programs) for work-related problems | O | W | CA/S | T |
| 4.5 Facilitate learning of students and other health professionals | 4.5a Fail to treat others with dignity and respect, or to maintain appropriate relationships that are conducive to equitable, balanced evaluations | O | W | CA/S | T |
| 4.6 Dress for work according to the department's workplace attire guidelines, including the appropriate display of any required identification badge | 4.6a Fail to conform to departmental uniform or dress-code policy, including the wearing of identification badges | O | W | CA/S | T |
| 4.7 Give, accept, and ask for balanced feedback on a regular basis | 4.7a Fail to acknowledge requests for feedback | O | W | CA/S | T |

Work Requests & Assignments

| | | | | | |
|--|--|---|------|---|--|
| 5.1 Complete all medical records in a timely fashion | 5.1a Fail to complete medical records within hospital/department designated time frame | W | CA/S | T | |
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Safety & Respect

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| 6.1 Respect and safeguard the property of others and the institution. Use hospital property only for legitimate work purposes (email, facsimile machines, computers, copiers, cell phones, tools, vehicles and other work-related equipment) | 6.1a Send personal email on hospital computer; duplicate personal documents on university copy machines | CA/S | T | | |
| 6.2 Use only hospital email system for hospital information | 6.2a Transfer a hospital/institutional email account to another email address | W | CA/S | T | |
| 6.3 Report immediately any accident on university, hospital, or affiliated premises involving an on-the-job injury or property damage | 6.3a Fail to report the abuse of university or hospital equipment by someone else | W | CA/S | T | |
| 6.4 Obey and abide by all civil, state, and federal laws and university regulations | 6.4a Commit any crime on university, hospital, or affiliated premises such as theft or unauthorized removal of or willful damage to property | W | CA/S | T | |
| | 6.4b Have unauthorized possession of alcohol, weapons, explosives, or any possession of illegal drugs | T | | | |
| | 6.4c Charge personal long-distance phone calls to the university, hospital, or affiliates | T | | | |
| | 6.4d Gamble on university, hospital, or affiliated premises | T | | | |
| | 6.4e Commit a work-related crime while off duty | T | | | |