

APPLICATION FOR NON-PREFIX FACULTY APPOINTMENT

Faculty who are granted an appointment in the Clinical/Adjunct appointment system with a “non-prefix” rank must be deeply involved in the college as evidenced by meeting at least one of the eligibility criteria listed below. Non-prefix faculty must be able to demonstrate and attest to at least 20% effort on behalf of MSU in the areas of teaching, scholarly productivity/research, and institutional services. Appointment length varies but is generally for three years and is renewable as long as the eligibility requirements continue to be met. Approval by the department chair and the dean’s office is required.

Eligibility criteria for non-prefix appointment (must meet one of the following):

- *Official administrative position in the college (e.g., Clerkship Director, Course Director, etc.). Official administrative positions in the college are designated as such **by the dean’s office**.*
- *Paid by a College of Human Medicine-affiliated or College of Human Medicine-sponsored residency as core faculty or administrator for the program, such as Residency Director. “Core faculty” means a significant amount of your effort is devoted to teaching/precepting in an MSU-sponsored or affiliated program and **you are paid by the residency program or clinical entity specifically for that teaching role**.*
- *Engagement in a meaningful, collaborative research relationship with one or more regular MSU faculty (adjudicated by the CHM Senior Associate Dean for Research).*

If you are eligible based on the eligibility criteria above, please answer the following questions:

1. Attest that you will contribute at least 20% of your overall effort towards CHM mission areas as MSU Non-Prefix faculty member? Yes ☐ No ☐
2. An official administrative position (Clerkship Asst, Assoc, or Director, Course Asst, Assoc, or Director) has been assigned to you by the CHM Dean’s Office? Yes ☐ No ☐
 - a. If yes:
 - i. Provide documentation of position award, assignment of duties and effort requirements.
 - ii. The role is: _____
 - iii. Assigned by: _____
 - iv. Oversight of position will be provided by: _____
3. An official Residency position (Residency Asst, Assoc, or Director) has been assigned to you by a College of Human Medicine-affiliated or College of Human Medicine-sponsored residency. Yes ☐ No ☐
 - a. If yes:
 - i. Provide documentation of position award, assignment of duties and effort requirements.
 - ii. This specific role will be paid for by the residency program. Yes ☐ No ☐
 - iii. The Residency Program is: _____
 - iv. The Residency Location is: _____
 - v. The role is: _____
 - vi. Assigned by: _____
 - vii. Oversight of position will be provided by: _____
4. Engagement in a meaningful, collaborative research relationship with one or more regular MSU faculty, that has been adjudicated by the CHM Senior Associate Dean for Research. Yes ☐ No ☐
 - a. If yes:
 - i. Provide documentation of adjudication by the CHM Senior Associate Dean for Research.

ii. The collaborative research project is:

iii. The collaborative research will be performed with:

COMMUNITY AFFILIATION:

☐ Flint ☐ Grand Rapids ☐ Lansing ☐ Midland ☐ Traverse City ☐ Upper Peninsula ☐ Southeast Michigan

DEPARTMENT: I am requesting appointment in the department(s) of:

- | | | |
|--|---|---|
| <input type="checkbox"/> Emergency Medicine | <input type="checkbox"/> Pediatrics & Human Development | <input type="checkbox"/> Translational Science & Molecular Medicine |
| <input type="checkbox"/> Family Medicine | <input type="checkbox"/> Psychiatry | <input type="checkbox"/> Radiology |
| <input type="checkbox"/> Medicine | <input type="checkbox"/> Surgery | <input type="checkbox"/> <i>Uncertain – Please advise</i> |
| <input type="checkbox"/> Neurology & Ophthalmology | | |
| <input type="checkbox"/> Obstetrics, Gynecology & Reproductive Biology | | |

Please complete as it appears on your Social Security Card or Passport:

NAME: FIRST _____ **MIDDLE** _____ **LAST** _____

MAIDEN NAME: _____ **DATE OF BIRTH:** _____ **GENDER:** ☐ Male ☐ Female

CITIZENSHIP: ☐ U.S. Citizen ☐ Non-Resident Alien ☐ Non-Citizen Nat'l of U.S. ☐ Permanent Resident

TYPE OF VISA: _____ **COUNTRY OF CITIZENSHIP:** _____

ETHNICITY/RACE: ☐ Of Hispanic or Latino Origin ☐ Not of Hispanic or Latino Origin

Please check at least one status as well as all that apply: ☐ American Indian or Alaskan Native ☐ Asian
☐ Black or African American ☐ Hawaiian/Pacific Islander ☐ White

PREFERRED MAILING ADDRESS: ☐ Home ☐ Office ☐ Other

(Street/City/State/Zip) _____

PRIMARY PHONE: _____ **BUSINESS PHONE:** _____

E-MAIL: _____ **SECONDARY E-MAIL:** _____

EMERGENCY CONTACT INFORMATION:**NAME:** First _____ Last _____ Phone _____

Address _____ City _____ State _____ Zip _____

MEDICAL PRACTICE NAME _____

ADDRESS: _____

GROUP AFFILIATION (e.g., SHMG, Advantage Health): _____

ADDRESS: _____

EDUCATION:**Degree 1:**

Most Relevant Highest Degree _____

Major Field of Study _____

School (Institution) _____

Date Degree Received _____

Degree 2:

Most Relevant Highest Degree _____

Major Field of Study _____

School (Institution) _____

Date Degree Received _____

APRN Degrees _____

APRN Degrees _____

APRN Degrees _____

APRN Degrees _____

POSTGRADUATE TRAINING:**INTERNSHIP:** Institution _____ Dates _____**RESIDENCY:** Specialty _____ Institution _____ Dates _____

Specialty _____ Institution _____ Dates _____

FELLOWSHIP: Specialty _____ Institution _____ Dates _____**NATIONAL PROVIDER ID** _____**MEDICAL LICENSE:**

License Number _____ State _____ Date Issued _____

License Pending? _____ (indicate reason, e.g., new resident or out-of-state)

AOA or AMA # _____**BOARD ELIGIBILITY/ CERTIFICATIONS:**Certified? ☐ Yes ☐ No Certified Specialty _____ Date Issued _____

Other Specialty _____

If not board-certified, are you board-eligible? ☐ Yes ☐ No Eligible Specialty _____Are you privileged and credentialed at a medical facility? ☐ Yes ☐ No

Facility where you have been credentialed and have privileges.

Hospital/Institution _____ City/State _____

Hospital/Institution _____ City/State _____

DOES YOUR CURRENT EMPLOYER HAVE A CRIMINAL BACKGROUND CHECK (CBC) ON FILE FOR YOU?

☐ Yes

☐ No: If you have not had a CBC, MSU is required to facilitate one before your appointment can be finalized. The department or college will be contacting you to follow-up.

PREVIOUS ACADEMIC EXPERIENCE:

Institution _____ Position _____ Years _____

Institution _____ Position _____ Years _____

ANY RELATIVE EMPLOYED BY MSU? ☐ Yes ☐ No *(If yes, name, relationship, title, department)

PREVIOUS MSU STUDENT? ☐ Yes ☐ No

PREVIOUS NET ID: _____

PLEASE INCLUDE A CURRENT CURRICULUM VITAE AND CERTIFICATES WITH THIS APPLICATION

To the best of my knowledge, I certify that all information provided in this application is correct and by signing this application I agree to actively participate in academic service for MSU.

Signature: _____ **Date:** _____

Attachment A: Disclosure of Relevant Background Information Unpaid Faculty/Academic Staff Appointment

Final approval for your appointment rests solely with the Department Chairperson. As part of the final approval process of your appointment, the University will conduct a criminal background check, including degree verification, or, in lieu of conducting a check for those with unpaid clinical appointments, may rely on the checks conducted by the hospital/medical facility where you volunteer for MSU and are privileged and credentialed, and/or hold regular employment. Any falsifications related to your degree or academic credentials may constitute grounds to revoke your offer of appointment.

Additionally, I must inform you that the decision to recommend an academic appointment takes into account all available information regarding an applicant's professional and personal conduct. Your appointment is contingent on the University having your cooperation in learning information needed to assess your candidacy. For this reason, the University requires you to disclose all relevant facts needed to give the University a full and fair understanding of any past conduct that could adversely affect your ability to fulfill successfully your responsibilities with the university, including:

- 1) professional misconduct or sanctions (e.g., debarment by a federal agency; any form of professional discipline or license restriction or surrender; and admission or determination that you have committed research misconduct).
- 2) any formal employment disciplinary action.
- 3) any civil rights violation that you admitted or were determined by a court or other adjudicative process to have committed (e.g., sexual or racial harassment or discrimination); and/or
- 4) any felony crime for which you were arrested and charged or any serious crime (e.g., drug distribution; sexual offenses; violence involving physical injury to another person; child abuse, molestation, or child endangerment; theft or embezzlement) for which the you were convicted or pled "no contest."

Finally, during the course of your appointment, if any of these arrests, conviction or events occur, you are required to self-disclose this information within 72 hours or at the earliest possible opportunity via the Michigan State University Self-Disclosure Form located on the HR website at hr.msu.edu.

Engagement in any such conduct will not, in and of itself, disqualify you for an appointment at the University or result in termination of your current appointment. But, your failure to disclose such information, or any misrepresentation you make in connection with the disclosure, would be grounds to revoke your offer of appointment or terminate your current appointment.

Acknowledged:

Signature

Date

⁵**Attachment B: Relationship Violence and Sexual Misconduct (RVSM) and Title IX Policy Information**

Michigan State University is committed to maintaining a learning and working environment for all students, faculty, and staff that is fair, humane, and responsible – an environment that supports career and educational advancement based on job and academic performance. Relationship violence and sexual misconduct subvert the mission of the University and offend the integrity of the University community. Relationship violence and sexual misconduct are not tolerated at Michigan State University.

The University will respond to complaints, reports, or information about incidents of relationship violence and sexual misconduct to stop the prohibited conduct, eliminate any hostile environment, take steps to prevent the recurrence of the prohibited conduct, and address any effect on campus or in any University programs and activities regardless of location.

The purpose of the Relationship Violence and Sexual Misconduct (RVSM) and Title IX Policy is to define relationship violence and sexual misconduct, describe the process for reporting violations of the policy, outline the process used to investigate and adjudicate alleged violations of policy, and identify resources and support available to members of the University community who are involved in an incident of relationship violence or sexual misconduct.

The nature of your role is unique because you hold an MSU faculty or academic staff appointment but are not an employee of MSU. However, because you have been awarded faculty or academic staff status at MSU, you do have some responsibilities relevant to this policy. Critical pieces include:

- You are considered a “responsible employee” of MSU, even though your role is unpaid, as described in the MSU Relationship Violence and Sexual Misconduct and Title IX policy: <https://civilrights.msu.edu/policies/relationship-violence-and-sexual-misconduct-and-title-ix-policy.html>
- As a responsible employee you are obligated to report any suspected or actual incident of sexual harassment, sexual assault, relationship violence or stalking (as defined in the policy) that involves an MSU student or employee (including residents who are employed by or hold an appointment with MSU).
- All incidents should be reported directly to the Office for Institutional Equity by calling (517) 353-3922 or by using the Public Incident Reporting Form: <https://msu.publicincidentreporting.com>.
- Reports indicating a potential violation of the Relationship Violence and Sexual Misconduct and Title IX policy will also be forwarded to the MSU Police Department to fulfill mandatory reporting requirements.
- If you are unsure whether an incident needs to be reported, please reach out to the Office for Institutional Equity for assistance by phone at (517) 353-3922 or e-mail oi@msu.edu.
- MSU Campus Equity Navigator:
- Supportive and interim measures may be implemented to ensure the safety of all parties, preserve access to educational or employment opportunities, and/or prevent recurrence of concerning RVSM conduct. Supportive measures (ex: academic support, employment assistance, Mutual No-Contact Directives, etc.) may be available for impacted individuals. Please contact MSU Campus Equity Navigator, Jessica Packard, before taking any interim action and with requests for supportive measures. Jessica can be reached at ocr.jessicapackard@msu.edu.

The RVSM and Title IX Policy in its entirety as well as frequently asked questions may be found here: <https://civilrights.msu.edu/policies/index.html>

Additional requests for training or questions regarding the policy can be sent to the Prevention, Outreach and Education Department by emailing empower@msu.edu.

I have received the Relationship Violence and Sexual Misconduct (RVSM) and Title IX information and agree to abide by its terms.

Acknowledged:

Signature

Date

Attachment C: DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS RELATED TO MSU

DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS RELATED TO MSU

A conflict of interest exists when an individual's financial interests or other opportunities for tangible personal benefit may compromise, or reasonably appear to compromise, the independence of judgment with which the individual performs their university-related responsibilities.

The most current university information on the conflict of interest can be reviewed at <https://coi.msu.edu/>. The college of Human Medicine policy on conflict of interest can be reviewed at https://humanmedicine.msu.edu/faculty-staff/faculty-affairs/file/CHM_COI_Policy_2-8-2021.pdf.

Do you, your spouse, domestic partner, dependent children and/or other dependents residing with you have any financial interest related to your MSU responsibilities?

☐ Yes ☐ No

If "Yes" please list below the name(s) of entities related to your MSU responsibilities in which you have a personal financial interest. Also, fill out the form <https://coi.msu.edu/disclosure/COIDisclosure6-19-17.pdf> and submit the form electronically to fcoiio@msu.edu

NOTE: You are not required to disclose travel that is reimbursed or sponsored by any of the following U.S. entities: government agencies; institutions of higher education; teaching hospitals or medical centers; or research institutes affiliated with a U.S. institution of higher education.

PERSONAL CERTIFICATION: I understand that it is my responsibility to notify the university within thirty days of acquiring any new significant financial interest related to my responsibilities above or if the details/relationships with disclosed entities change. I shall notify the university by submitting a disclosure of financial conflict of interest by filling out the form (<https://coi.msu.edu/disclosure/COIDisclosure6-19-17.pdf>) and submitting the form electronically to fcoiio@msu.edu.

Acknowledged:

Signature

Date

Attachment D: FERPA

Introduction

Michigan State University (“the University”) maintains student education records and is responsible for their access to and release in accordance with the Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g (“FERPA”). It is the policy of the University to comply with FERPA.

Reason for Guidelines

These guidelines comply with standards established in FERPA. The guidelines govern the procedures for maintenance and access to student education records held by the University. The guidelines have a two-fold purpose:

1. To protect a student’s right to privacy of information in the University’s possession concerning the student; and
2. To provide guidance on release or disclosure of student information required by law and as necessary for the effective functioning of the campus community.

Who Should Read These Guidelines

All students, faculty and staff with access to student education records should read and be familiar with these guidelines.

Notification of Student Rights under FERPA

All currently enrolled students at the University are notified annually of their rights under FERPA. These rights include:

1. The right to inspect and review the student’s education records.
2. The right to request amendment of education records the student believes are inaccurate, misleading, or otherwise in violation of the student’s privacy rights under FERPA.
3. The right to provide written consent before personally identifiable information from the student’s education records is disclosed except to the extent that FERPA authorizes disclosure without consent.
4. The right to file a complaint with the U.S. Department of Education concerning any alleged violation of the student’s rights under FERPA.

Definitions

The following definitions apply to terms as they are used in these guidelines.

Directory Information

Directory information is information in a student’s education record which may be disclosed to outside parties without a student’s prior written consent. While disclosure of directory information about a student is not generally considered harmful or an invasion of privacy under FERPA, FERPA does not require the University to disclose directory information to outside parties. Information that the University has designated as directory information is listed in the Michigan State University Notification of Student Rights under FERPA available at <https://www.reg.msu.edu/read/NotificationandDirectoryInformationNotice.pdf>.

Currently enrolled students may restrict the release of directory information by notifying the Office of the Registrar or updating their directory restrictions online through the StuInfo web site at <https://stuinfo.msu.edu/>.

Education Records

Education records are those records, files, documents, and other materials which contain information directly related to a student and are maintained by the University or by a party acting on behalf of the University. This includes information or data recorded in any medium including, but not limited to, handwriting, print, tapes, film, microfilm, microfiche, and any electronic storage or retrieval media.

Education records exclude: (1) records that are in the sole possession of school officials and are not accessible by other personnel; (2) law enforcement or campus security records that are maintained or created by the law enforcement unit for the purpose of law enforcement; (3) employment records relating to students who are employed by the University, unless the employment is a result of his/her status as a student; (4) records created or maintained by a physician, psychiatrist, psychologist or other recognized professional or paraprofessional, that are used only in connection with the treatment of the student and are not available to anyone other than those providing such treatment; and (5) records that contain information about an individual after that person is no longer a student at the University, unless the records pertain to the individual’s previous attendance as a student.

FERPA

The Family Educational Rights and Privacy Act of 1974, 20 U.S.C. § 1232g

(<http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>).

Legitimate Educational Interest

An individual has a legitimate educational interest in education records if the information or record is relevant and necessary to the accomplishment of some employment or other institutional task, service, or function.

Parent

A parent is an individual who is the natural parent, the guardian, or the individual acting as the parent in the absence of a parent or guardian, of a student at the University.

Personally Identifiable Information

Personally identifiable information is any information that, alone or in combination, is linked or linkable to a specific student that would allow a reasonable person in the campus community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty. Examples of personally identifiable information include, but are not limited to: (1) the student's name; (2) name of the student's parent or other family member; (3) the address of the student or student's family; (4) a personal identifier, such as a student's social security number or student number; (5) the student's date and place of birth; (6) the student's mother's maiden name; (7) biometric record; and (8) a list of personal characteristics or other information that would identify the student with reasonable certainty. Personally identifiable information also includes information requested by a person who the University reasonably believes knows the identity of the student to whom the education record relates.

School Official

A school official is a person employed by the University in an administrative, supervisory, academic/research, or support staff position; contractors, consultants, volunteers and other non-employees performing institutional services and functions; and a person serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

Student

A student is any individual with respect to whom the University maintains education records and has been in attendance at the University. Attendance is defined as physical attendance or participation in an academically-related activity, including but not limited to the submission of an assignment, taking an exam, or participation in a study group or online discussion about academic matters. A student's education records are protected under these guidelines beginning on the first day of the first term for which they have enrolled. No student shall be required to waive his or her rights under FERPA as a condition of admission or for the receipt of any services or benefits.

Responsibilities

Anyone Who Maintains or Seeks Access to Education Records

Maintain and release records in accordance with FERPA and these guidelines.

(<http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>)

Office of Planning and Budgets

Maintain and provide external and internal reporting of institutional data, which may include student information. Provide internal access and analytical reports of data for institutional studies and research.

Student

Read the Michigan State University Notification of Student Rights under FERPA and these guidelines.

University Registrar

Disseminate Michigan State University Notification of Student Rights under FERPA.

Manage the process by which students opt-out or restrict disclosure of their directory information.

Administer the process to determine whether alleged errors in education records are misleading, inaccurate, or in violation of a student's privacy rights.

Facilitate communications with appropriate school officials and provide advice, clarification, or direction on when release of confidential information is permissible.

Facilitate all responses to third party requests, subpoenas, or judicial orders for student education records. Oversee campus compliance, education and awareness of FERPA.

Procedures

Disclosure to Students Inspection and Review

A currently enrolled or former student has the right to inspect and review his/her education records upon proper identification. All such requests must be made to the Office of the Registrar. Requests for access to records must be granted within a reasonable period of time, but in no case later than forty-five (45) days from the date of request. If a student is denied access to his/her education records, the student may appeal in writing to the official maintaining the records or to the University Registrar. If the decision to deny access is upheld, the school official handling the appeal must provide a written statement to the student regarding the basis for the denial within ten (10) days of the receipt of the appeal. Following the appeal, the student or the school official may request the Associate Provost for Academic Services and Enrollment Management to provide guidance on the rules and policies concerning access to education records. If the Associate Provost for Academic Services and Enrollment Management determines that the requested record is an education record to which the student may have access under FERPA and these guidelines, the record shall be made available to the student.

Applicants have the right to review records and data submitted for admission with an admissions officer. Those denied admission must exercise this right within six (6) months of the date of denial. The decision to admit or deny admission is, however, a composite professional decision not subject to review.

Amendment of Record

A currently enrolled or former student has the right to request an amendment of records that he/she believes to be inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA. A request to amend a record should be made in writing to the school official maintaining the record, clearly identifying the part of the record the student wants changed and specifying why it should be changed. If the student's request to amend is denied, the school official will notify the student in writing of the decision and the right to a formal hearing on the matter.

A request for a formal hearing on the denial of a request to amend records must be made in writing to the University Registrar. Hearings will be conducted by a school official, otherwise known as the hearing officer, who does not have a direct interest in the outcome of the hearing. The hearing officer will provide notice to the student, reasonably in advance, of the date, place, and time of the hearing. The student will be afforded a full and fair opportunity at the hearing to present relevant evidence and is entitled to have a representative or advisor attend the hearing.

Following the hearing, the hearing officer will prepare a report discussing his/her decision. Copies of the report will be distributed to the parties who have a legitimate educational interest in the report. If the hearing officer decides the student's request to amend the record was improperly denied, the record shall be amended accordingly. Should the hearing officer uphold the denial, the student may appeal the hearing officer's decision, in writing, to the Associate Provost of Enrollment and Academic Strategic Planning within ten (10) days after notice of the decision is sent. The Associate Provost of Enrollment and Academic Strategic Planning will request an Appeals Committee, consisting of three (3) disinterested University officials, to make a final determination after reviewing records from the hearing, the hearing officer's report, and other relevant information. If the Appeals Committee determines the student's education record is factually incorrect, the record shall be amended accordingly. If the Appeals Committee decides to uphold the hearing officer's denial, the student will be given an opportunity to place a written statement with the education record setting forth his/her disagreement with the decision. The student's statement and the Appeal Committee's decision will be maintained as part of the student's education record for as long as the University maintains the record and may be disclosed to an authorized party when requested. The student also has the right to file a complaint with the Student Privacy Policy Office at the U.S. Department of Education.

Letters of Recommendation

Students may not have access to letters of recommendation or statements of evaluation obtained or prepared before January 1, 1975. A student may waive his/her right to access letters of recommendation obtained after January 1, 1975. A student who wishes to waive his/her right to access letters of recommendation must provide a signed statement of waiver to the author of the letter or the Office of the Registrar.

Disclosure to Third Parties

Personally identifiable information from a student's education records may not be released to third parties without the student's prior written consent, with certain exceptions. The exceptions to the consent requirement are limited to the following:

1. **Disclosure to School Officials.** Personally identifiable information from education records may be disclosed without written consent to school officials who have a legitimate educational interest in the records. These records may be disclosed only on a need to know basis. Specifically, a school official requesting information must have a legitimate need for the requested information for the effective functioning of his/her position or office. Determination as to whether the need to

know requirement has been satisfied is made by the head administrator for the unit retaining the information or by the Office of the Registrar. All information released may only be used for the purpose intended.

For purposes of the school official's exception, education records may also be disclosed without consent to contractors, consultants, and other outside parties to whom the University has outsourced institutional services or functions that it would otherwise use employees to perform, provided that the outside party is under the direct control of the University with respect to the use and maintenance of the education records and subject to the same conditions governing the use and redisclosure of education records that apply to other school officials. The outside party must sign a statement indicating its compliance with the non-redisclosure provisions of FERPA prior to receiving any student information.

2. **Disclosure to Officials of Another School.** Personally identifiable information from education records may be disclosed to officials of another school where the student seeks or intends to enroll, or where the student is already enrolled if the disclosure is for purposes related to the student's enrollment or transfer.
3. **Disclosure of Directory Information.** Information that the University has designated as directory information in the Michigan State University Notice of Directory Information may be disclosed without the student's consent.
4. **Disclosure pursuant to Judicial Order.** Personally identifiable information from education records may be released to comply with a judicial order or a lawfully issued subpoena. As permitted by law, reasonable attempts will be made to notify the student of the judicial order or subpoena in advance of compliance.
5. **Disclosure pursuant to Requests for Financial Aid.** Personally identifiable information from education records relevant to the student's application for, or receipt of, financial aid may be disclosed if the information is necessary to determine eligibility, determine amount or conditions of the aid, or enforce the terms and conditions of the aid.
6. **Disclosure to Federal and State Authorities.** Authorized representatives of the U.S. Comptroller General, the U.S. Attorney General, the U.S. Secretary of Education, or state and local educational authorities, may have access to education records. Disclosures under this provision may be made in connection with an audit or evaluation of federal- or state-supported education programs, or for the enforcement of or compliance with federal legal requirements that relate to those programs. These entities may make further disclosures of personally identifiable information to outside entities that are designated by them as their authorized representatives to conduct any audit, evaluation, or enforcement or compliance activity on their behalf.
7. **Disclosure to Accrediting and Professional Associations.** Designated representatives of accrediting and other professional organizations with which the University is affiliated may have access to personally identifiable information to the extent necessary to fulfill the obligation of that accreditation or affiliation.
8. **Disclosure pursuant to Student's Delinquency on Payment.** Personally identifiable information from education records may be disclosed as necessary to effect collection of a student's financial obligations to the University.
9. **Disclosure pursuant to Litigation against the University.** Personally identifiable information from education records deemed necessary for the defense of the University in a suit filed by a student may be disclosed to attorneys representing the University.
10. **Disclosure pursuant to the University's Obligations to Support Study and Research.** The University may disclose personally identifiable information from a student's education records without consent if the disclosure is to an organization conducting studies for, or on behalf of, the University to: (a) develop, validate, or administer predictive tests; (b) administer student aid programs; or (c) improve instruction. Requests for access to student education records under the studies exception must be approved by the Office of the Registrar. Such requests will be fulfilled, if possible, by information from which all identification of the student has been removed.

The written agreement between the University and the organization conducting the study must specify the purpose, scope, and duration of the study and the information to be disclosed; require the organization to use personally identifiable information from education records only to meet the purposes of the study; limit any disclosures of personally identifiable information to individuals in the organization who have a legitimate interest in the information; and require the organization to destroy all personally identifiable information within a specified time period when the information is no longer needed for the purposes of the study.

For information related to conducting approved research involving surveys, please review the

“Procedure to Request Confidential Student Data in Support of University Research” (<http://reg.msu.edu/read/pdf/ResearchProcedure.pdf>). For information concerning mass e-mail distribution related to approved research, please also review the “Appropriate Use of MSU E-mail Services by Internal Users on MSUNET” (<https://tech.msu.edu/about/guidelines-policies/appropriate-use-msu-email/>)

11. **Disclosure to Protect the Health and Safety of an Individual.** The University may disclose personally identifiable information from education records to appropriate parties including, but not limited to, parents of an eligible student, whose knowledge of the information is necessary to protect the health or safety of a student or another individual if there is a significant and articulable threat to the health or safety of a student or other individual, considering the totality of the circumstances. The University must record the articulable and significant threat that formed the basis for the disclosure and the parties to whom the information was disclosed.
12. **Disclosure Pursuant to the Wetterling Act, 42 U.S.C. 14071.** The University may disclose without consent personally identifiable information received under the Wetterling Act about a student who is required to register as a sex offender.
13. **Disclosure of Results of a Disciplinary Proceeding.** The final results of a disciplinary proceeding may be disclosed if the school determines that the student is an alleged perpetrator of a crime of violence or non-forcible sex offense and the student has committed a violation of the school’s rules or policies with respect to the allegation made against him/her.

Parents or Legal Guardians

The University does not make disclosures of information to parents or legal guardians without written consent from the student. However, consistent with FERPA, the University does not need a student’s consent to release information from education records to parents or other appropriate individuals in the case of health and safety emergencies. The University may also disclose to parents without consent information regarding their student’s violation of any federal, state, or local law, or of any rule or policy of the University, governing the use or possession of alcohol or a controlled substance, if the University determines the student committed a disciplinary violation and the student is under the age of 21.

Data Requests

All academic and administrative units at the University seeking student and institutional data have: (1) full access to the Enrollment and Term-End Reports through the Office of the Registrar (<https://reg.msu.edu/RoInfo/EnrTermEndRpts.aspx>); (2) full access to Institutional Research and historical data reports through the Office of Planning and Budgets (<https://ir.msu.edu/explore>); and (3) restricted access to the Student Information Generator (<https://reg.msu.edu/Forms/StuInfoGen/Menu.aspx>).

Requests for student information beyond the scope of the systems referenced above should be submitted to the Office of the Registrar using the Data Request Form available at: <https://reg.msu.edu/Forms/DataRequest/DataRequest.aspx>.

Only the Office of the Registrar and the Office of Planning and Budgets are authorized to fulfill such requests. All other units and organizations may not release student or institutional data without prior approval from the appropriate Vice-President and the Office of the Provost.

If the data request involves confidential student data and University research, please review the “Procedure to Request Confidential Student Data in Support of University Research” (<http://www.reg.msu.edu/read/pdf/ResearchProcedure.pdf>).

Requests from recognized educational or governmental organizations for student or institutional data should be addressed to:

Michigan State University
Associate Registrar for Academic Records
Hannah Administration Building
426 Auditorium Road, Room 150
East Lansing, MI 48824-2603

All data requests are subject to review and approval for compliance with FERPA and University policies.

The University does not release student information for commercial purposes.

Requests which require extensive labor, interfere with regular operations, or require data in specific formats (e.g. mailing labels) may be denied or charged a fee for the service. An estimate of the fees may be provided upon request.

Freedom of Information Act

The Freedom of Information Act (“FOIA”), M.C.L. 15.231 et seq., regulates and sets requirements for the disclosure of public records by all public bodies in the state. FOIA provides that all public records of a public body are subject to

disclosure unless specifically exempted by the Act. A public body may, but is not required to, withhold from disclosure those categories of public records exempt from disclosure under the Act. FOIA requests seeking student records, including directory information about a student, may be denied on a statutory exemption for records protected by FERPA, privacy, or other available exemptions. All FOIA requests must be submitted to:

Michigan State University
Freedom of Information Act Office
408 West Circle Drive
Room 177 Olds Hall
East Lansing, MI 48824

Further Information

If circumstances arise involving release of confidential information that are not covered in the University's Academic Programs catalog or by these guidelines, please contact the Office of the Registrar for assistance.

I have received and reviewed the above Family Educational Rights and Privacy Act and agree to abide by its terms.

Acknowledged:

Signature

Date

Attachment E: Student Mistreatment Policy & Procedures

The Michigan State University College of Human Medicine (the "College") is committed to maintaining a positive environment for study and training, in which individuals are judged solely on relevant factors such as ability and performance, and can pursue their educational and professional activities in an atmosphere that is humane, respectful and safe. The College's mission statement provides that the College will "educate future physicians who will:

- Serve the health care needs of people in the state of Michigan, including those in rural and inner-city areas
- Be caring, compassionate, and humane in their care of patients
- Respect human differences
- Commit to ethical practices and lifelong learning"

Medical student mistreatment is destructive of these fundamental principles and will not be tolerated in the College of Human Medicine community.

Policy's Objectives

This policy and related procedures are intended to inform members of the College community what constitutes medical student mistreatment and what members can do should they encounter or observe it. In addition, the policy and related procedures are intended to:

- prohibit medical student mistreatment by any members of the College community including faculty members, clerkship directors, attending physicians, fellows, residents, nurses and other staff, and classmates in the College community;
- encourage identification of medical student mistreatment before it becomes severe or pervasive;
- identify accessible persons to whom medical student mistreatment may be reported;
- require persons (whether faculty, staff or student) in supervisory or evaluative roles to report

medical student mistreatment complaints to appropriate officials;

- provide a confidential system for reports of mistreatment;
- prohibit retaliation against persons who bring medical student mistreatment complaints;
- assure confidentiality to the full extent consistent with the need to resolve the matters appropriately;
- assure that allegations will be promptly, thoroughly, and impartially addressed;
- provide for appropriate corrective action.

The ultimate goal is to prevent medical student mistreatment through education and the continuing development of a sense of community. But if medical student mistreatment occurs, the College will respond firmly and fairly. As befits an academic community, the College's approach is to consider problems within an informal framework when appropriate, but to make formal procedures available for use when necessary.

What Constitutes Medical Student Mistreatment

The College has defined mistreatment as behavior that shows disrespect for medical students and unreasonably interferes with their respective learning process. Such behavior may be verbal (swearing, humiliation), emotional (neglect, a hostile environment), and physical (threats, physical harm). When assessing behavior that might represent mistreatment, students are expected to consider the conditions, circumstances, and environment surrounding such behavior. Medical student training is a rigorous process where the welfare of the patient is the primary focus that, in turn, may appropriately impact behavior in the training setting.

Examples of mistreatment include but are not limited to:

- harmful, injurious, or offensive conduct
- verbal attacks
- insults or unjustifiably harsh language in speaking to or about a person
- public belittling or humiliation

- physical attacks (e.g., hitting, slapping, or kicking a person)
- requiring performance of personal services (e.g., shopping, babysitting)
- intentional neglect or lack of communication (e.g., neglect, in a clerkship, of students with interests in a different field of medicine)
- disregard for student safety
- denigrating comments about a student's field of choice
- assigning tasks for punishment rather than to meet educational objectives or for objective evaluation of performance
- exclusion of a student from any usual and reasonable expected educational opportunity for any reason other than as a reasonable response to that student's performance or merit
- other behaviors which are contrary to the spirit of learning and/or violate the trust between the teacher and learner.

Violation of this policy may lead to disciplinary action, up to and including expulsion or termination.

It is expected that when there is a need to weigh the right of an individual's freedom of expression against another's rights, the balance will be struck after a careful review of all relevant information and will be consistent with the College's commitment to free inquiry and free expression.

The Senior Associate Dean for Academic Affairs (SADAA) has the authority to determine (on a case by case basis) whether or not an alleged form of mistreatment would be more appropriately covered under this or other policies. When a medical student is alleged to have engaged in medical student mistreatment, the SADAA will determine whether such cases shall be handled under this policy, the Medical Students Rights and Responsibilities or the College's policy on professional behavior. Other mistreatment behaviors such as sexual harassment, discrimination based on race, religion, ethnicity, sex, age, disability, and sexual orientation are covered under this and other College and University policies and should be reported on the mistreatment mechanism and/or the ombudsperson. All mandatory reporters in the college will follow the policies and statutes of the college and state for applicable reports and events.

Prevention and Dissemination of Information

The College is committed to preventing and remedying mistreatment of medical students. To that end, this policy and related procedures will be disseminated among the College's community. In addition, the College will periodically sponsor programs to inform medical students, residents, fellows, faculty, administrators, nursing and other staff about medical student mistreatment and its resulting problems; advise members of the College community of their rights and responsibilities under this policy and related procedures; and train personnel in the administration of the policy and procedures.

Methods of communicating to specific groups include but are not limited to the following:

To Medical Students:

- inclusion of a section on medical student mistreatment in the Student Guidebooks and LCE Guides,
- inclusion as an agenda topic for orientations,
- inclusion of a reference to the topic in the guidelines/description of each course and clinical rotation,
- education of the medical student body through class meetings,

To Members of the College community:

- annual transmittal, by the Dean, of a copy of the policy and procedures to department chairs, course directors, clerkship and program directors on site and at affiliated institutions, with instructions to distribute and explain the policy and procedures to faculty and staff participating in the teaching and training of medical students,
- inclusion as an agenda topic for chief resident/resident/fellow orientations.

What To Do

When mistreatment is believed to have occurred, the initial step is to report the concern or incident. Thereafter, three procedural avenues of redress are available to medical students:

- consultation,
- informal resolution, and • formal grievance.

Often, concerns can be resolved through consultation or informally resolved. If the matter is not satisfactorily resolved through the consultation or informal resolution procedure, then the student who made the allegation of mistreatment may initiate a grievance. Another person or the person against whom the allegation was made may initiate a formal action or proceedings.

Reporting

All members of the College community are encouraged to report incidents of mistreatment. Reports may be anonymous and confidential. While confidential, non-anonymous reports with sufficient detail are most useful in support of follow up, all reports (using de-identified, aggregated information) may be used to assess and improve the educational setting.

Consultation

A medical student who believes she/he has been mistreated may discuss the matter with the person who has engaged in the behavior or with his/her department chair, the clerkship director, the residency director, the Community Assistant/Associate Dean, Assistant Dean for Clinical Experiences or Senior Associate Dean for Diversity and Inclusion, or the relevant staff supervisor. If it is not desired, not possible, or not satisfactory, the student may initiate a confidential consultation with the College of Human Medicine Student Resolution Advocate (SRA). The SRA shall also be available for consultation when appropriate by any of the foregoing persons. The SRA will provide a copy of the medical student mistreatment policy and procedures, respond to questions about them, assist in developing strategies to deal with the matter and work in accordance with the procedure set forth in Appendix A.

Informal Resolution Procedure

An informal resolution procedure, which is initiated in the same manner as a consultation, entails a non- anonymous report of alleged mistreatment to the SRA and subsequent investigation of the charges by the SADAA in accordance with Appendix B.

Formal Grievance Procedure

The formal grievance procedure is available when the informal resolution procedure fails to resolve satisfactorily the allegation of mistreatment. The student who made the allegation of mistreatment (the "Grievant"), the person against whom the allegation was made (the "Respondent") or a responsible College official may initiate a formal grievance.

A formal grievance is initiated by submitting to the SADAA a signed, written request to proceed with a formal grievance (see Medical Students Rights and Responsibilities for complete process). The request is due within 15 business days after the student receives from the responsible College official a statement of the disposition of the informal resolution procedure. The SADAA will inform the requesting party of the process that will be followed and provide a copy of the applicable procedure.

Outcomes

If the informal resolution procedure or formal grievance procedure results in a determination that mistreatment occurred, the findings and recommendations shall be referred to the appropriate College, University, Hospital or faculty official for imposition of corrective action, including sanctions that the official is authorized to impose. A range of relevant considerations may be taken into account in determining the extent of sanctions, such as the severity of the offense, the effect of the offense on the victim and on the University community, and the offender's record of service and past offenses. Sanctions may include, but are not limited to, oral or written warning, termination of privileges to train/interact with/evaluate medical students, probation, suspension, expulsion, or termination of employment; provided that a

respondent may not be dismissed except in accordance with the procedural safeguards for faculty, residents, staff, and students set forth in the relevant documents. The appropriate University, Hospital or faculty official may impose interim corrective action at any time, if doing so reasonably appears required to protect a medical student.

Redress of Disciplinary Action

Nothing in this policy or these procedures shall be deemed to revoke any right that any member of the University community may have to seek redress of a disciplinary action, such as a faculty member's right to maintain a complaint or a grievance under the Faculty Handbook.

Confidentiality

The SRA holds all communications with those seeking assistance in confidence, and does not disclose confidential communications unless given permission to do so. The SRA will not keep any permanent records about the student or the information shared. Students can submit anonymous concerns and even the fact of the student visit or conversation with the SRA is confidential. Substance of matters discussed in the office will remain confidential but the SRA will report general, de-identified trends of issues to provide feedback to the Dean and designees and to advocate systems change when appropriate. The only exceptions to this privilege of confidentiality are 1) where there appears to be imminent risk of serious harm, 2) compliance with MSU Title IX mandated reporting, and 3) court order.

The SADAA and other investigators and decision-makers will strive to maintain confidentiality to the full extent appropriate, consistent with the need to resolve the matter effectively and fairly. The parties, persons interviewed in the investigation, persons notified of the investigation, and persons involved in the proceedings will be advised of the need for discretion and confidentiality. Inappropriate breaches of confidentiality may result in disciplinary action.

Retaliation

Retaliation against a person who reports, complains of, or provides information in a mistreatment investigation or proceeding is prohibited. Alleged retaliation will be subject to investigation and may result in disciplinary action up to and including termination or expulsion.

False Claims

A person who knowingly makes false allegations of mistreatment, or who knowingly provides false information in a mistreatment investigation or proceeding, will be subject to disciplinary action (and, in the case of students, consistent with the expected professionalism requirements).

Time Limits

The College aims to administer this policy and these procedures in an equitable and timely manner. Persons making allegations of mistreatment are encouraged to come forward without undue delay.

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Interpretation of Policy

The Office of MSU Ombudsperson is available to provide advice on questions regarding interpretation of this policy and these procedures.

Appendix A: Consultation Procedure

1. The consultation consists of one or more confidential meetings between the SRA or his or her designee OR the MSU Ombudsperson and the person who requests the consultation.
2. The SRA will provide a copy of the medical student mistreatment policy and procedures to the person requesting consultation and respond to questions about them. The SRA may discuss the situation with the person, assist in developing strategies to deal with the matter, reach conclusion with the involved person or persons that no further action is necessary, or initiate the informal resolution procedure under Appendix B.
3. When the SRA has reason to believe that risk of imminent harm exists and that action is necessary to protect the health or safety of any individual or if Title IX reporting is mandated, the SRA will notify appropriate individuals,

institutions or authorities. Under these circumstances, it may not be possible to maintain complete confidentiality with regard to the matter.

4. The SRA will inform and educate students regarding Title IX reporting requirements and refer students to the Michigan State University Ombudsperson and other resources when indicated.

Appendix B: Informal Resolution Procedure

1. A student who requests consultation may pursue an informal resolution.
2. The SRA will ask the student to provide a factual account of the alleged mistreatment and to sign or otherwise certify accuracy and authorship of a statement to such effect. The SRA may assist the student in preparing a statement.
3. The SRA, with the student's permission, will forward the statement of alleged mistreatment to the SADAA.
4. The SADAA or designee will inform the person accused of mistreatment ("the Respondent") of the allegation in sufficient detail to enable the Respondent to make an informed response.
5. The SADAA or designee will (i) investigate the alleged mistreatment as promptly as circumstances permit, (ii) afford the Respondent a reasonable opportunity to respond to the allegation, (iii) advise the parties and persons interviewed or notified about the alleged mistreatment of the need for discretion and confidentiality.
6. Upon initiating an investigation, the SADAA or designee may inform the dean, University, or Hospital officials who would be charged with recommending corrective and disciplinary action ("Responsible Officials") of the fact that an informal resolution procedure is under way.
7. If the SADAA or designee is unable to resolve the matter informally, he or she shall determine, based on the report obtained from the SRA, whether or not to suggest or impose corrective or disciplinary action. Any action imposed by the Responsible Official shall be in his or her discretion, consistent with his or her authority.
8. The SADAA will notify the parties of the disposition of the informal resolution procedure to the extent consistent with College and University policies, appropriate considerations of privacy and confidentiality, fairness, and applicable law.
9. If dissatisfied with the disposition of the informal resolution procedure, the student who alleged the mistreatment, the Respondent, or the SADAA or designee may initiate the formal grievance or complaint procedure.

Formal Complaint Procedure – See Medical Students Rights and Responsibilities and Faculty Rights and Responsibilities

(adapted from George Washington University Medical School)

History of Approval

Original approved by the CHM Curriculum Committee January 28, 2014
CHM Student Mistreatment Policy and Procedures Page 5

Revisions approved by the CHM Curriculum Committee June 27, 2014 Revisions approved by the CHM Curriculum Committee March 26, 2019

I have received and reviewed the above Student Mistreatment Policy and agree to abide by its terms.

Acknowledged:

Signature

Date