

<b>GME Policy #: I-C</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 2</b> Effective: 03-14-08
	<b>Subject: Accreditation Standards</b>	

## **POLICY**

It is the policy of the University of Pennsylvania Health System (UPHS) Graduate Medical Education (GME) program to comply with applicable accreditation standards established by the Accreditation Council for Graduate Medical Education (ACGME), the pertinent residency review committees and specialty boards, the Joint Commission, and for the disciplines of podiatry and dentistry/oral surgery, the entities that accredit these disciplines.

## **SCOPE**

This policy applies to all UPHS ACGME accredited and non-accredited training programs and programs accredited by disciplines of podiatry and dentistry/oral surgery.

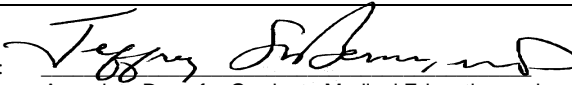
## **PROCEDURE**

### **Accreditation by the Joint Commission:**

Hospitals that participate in GME are required to be accredited by the Joint Commission. Joint Commission standards address selected areas of GME, most notably in regard to trainee supervision; roles, responsibilities and patient care activities of participants in GME programs; communication between the medical staff, the governing body and the Graduate Medical Education Committee (GMEC); and communication between the organizations jointly providing training to house staff within a given training program. The ACGME requires an explanation for the participation of any hospital within a GME program that is not Joint Commission accredited.

### **Recognition by American Board of Medical Specialties (ABMS) Member Boards:**

Individual member boards within ABMS evaluate physician candidates who voluntarily seek certification by a member board of the ABMS. To accomplish this function, the member boards determine whether candidates have received appropriate preparation in approved residency training programs in accordance with established educational standards, evaluate candidates with comprehensive examination, and certify those candidates who have satisfied the board requirements. Physicians who are successful in achieving certification are called diplomates of the respective specialty board. The boards also offer re-certification for qualified diplomates at intervals of seven to ten years. The ABMS maintains a list of all board certified diplomates. Further information related to eligibility for specialty board examinations is available upon request to the Office of GME and the applicable GME Program Director.

Supersedes: II-B , II-C, II-D	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	---

<b>GME Policy #: I-C</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 2</b> Effective: 03-14-08
	<b>Subject: Accreditation Standards</b>	

**Podiatry** – GME training in disciplines of podiatric medicine and podiatric surgery are accredited by entities separate from the ACGME or the American Board of Medical Specialties (ABMS). Further information about specific procedures in podiatry can be found via these organizations:

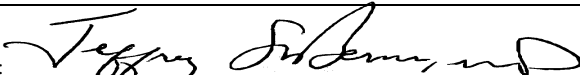
Council of Podiatric Medical Education  
American Board of Podiatric Surgery  
American Board of Podiatric Medicine

**Dentistry and Oral Surgery** – GME training in the disciplines of dentistry and oral surgery are accredited by entities separate from the ACGME or the ABMS. Further information about specific procedures in these fields can be found via:

American Dental Association, Commission on Dental Accreditation

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission.”

Supersedes: II-B , II-C, II-D	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

## POLICY

Financial support, including stipends and benefits, shall be examined on an annual basis by the Graduate Medical Education Committee (GMEC) for the purpose of enabling the Committee to fulfill its duty to make recommendations on this subject to the hospital budgetary authority.

House Staff in Accreditation Council for Graduate Medical Education (ACGME) accredited training programs are eligible for the following benefits:

- Health insurance (including medical, prescription drug, dental, and vision coverage); life, accidental death and dismemberment, and disability insurance
- Employee assistance program (including confidential counseling services)
- Vacation and leave, as outlined in GME Policy #II-E and related policies
- Parking and Commuter Pass Privileges
- Meal Benefit
- Call rooms
- Lockers
- Communication devices
- Laundry services
- Email accounts

## PURPOSE

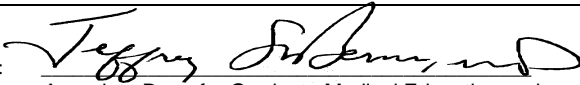
The purpose of this policy is to delineate the annual financial support and benefits for house staff.

## SCOPE

This policy applies to all trainees of UPHS sponsored ACGME accredited training programs.

## IMPLEMENTATION

The implementation of this policy is the responsibility of the Associate Dean for GME, the Office of GME, Department Chairs and Program Directors.

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

## PROCEDURE

### Stipends

House Staff stipend levels shall be based on market conditions, local and national benchmarking surveys, and overall health system fiscal responsibilities. The Chair of the GMEC may consult with HR to review all available data and then will make a recommendation to the GMEC for approval. The final recommendation will be sent to the hospital budgetary authority. Current stipend levels will be communicated each year to all house staff. Additionally, information on stipend levels and benefits will be provided to applicants by each training program as part of the recruitment process.

### Insurance Benefits

All UPHS house staff in ACGME accredited training programs will receive health insurance as described above, as well as life, accidental death and dismemberment, and disability insurance.

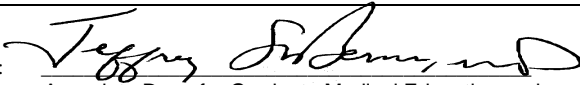
Information about the requirements, conditions, and costs associated with access to these various benefits for the house officer as well as his/her family members or dependents will be made available to house staff via the UPHS human resources department.

House Staff benefits are made effective as of the hire date.

UPHS reserves the right to alter, modify, add or terminate any benefit or benefit plan.

### Employee Assistance Program

UPHS is committed to maintaining a safe, healthy and efficient environment that enhances the professional and personal welfare of its house staff. It is recognized that personal difficulties can adversely affect the training experience. Therefore, access to the services of an Employee Assistance Program (EAP) is provided to all house staff, their spouses, domestic partners, and family members as defined in the appropriate human resources benefits manual. The EAP provides immediate help with personal problems that affect the wellness and productivity of house staff such as depression, stress, substance abuse, family difficulties, and financial problems.

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 3 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

House Staff are referred to CPUP/UPHS Policies # 1-11-08 & # 2-06-11 for further information regarding EAP and how to access these services. House Staff also are advised to review GME Policy #II-F House Staff Impairment.

### **Vacation and leave including sick leave and other absences**

Time off and leaves of absence must be made available to house staff, in order to balance the demands of training programs with trainees' personal needs and the needs of their families. GME Policy #II-E, as well as related policies established by individual programs, specifies the types of absence from training that are available to house staff and the procedure for requesting and approval of absence from training. Each program must have in place a vacation and leave policy that includes the impact of extended absence on the completion of a training program as well as eligibility to sit for any certification exams.

### **Parking & Commuter Pass Privileges**

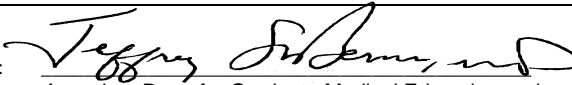
House Staff who provide 50% or more clinical service to the Hospital of the University of Pennsylvania (HUP) are eligible to receive:

- paid parking, or
- SEPTA "City Pass". The house officer is responsible for any expense above a "City Pass" commuter pass.

Appropriate documentation must be complete for parking privileges to be granted or a commuter pass to be issued. Required documentation includes: signed, current, Medical Training License; signed, current House Officer Agreement; current BLS or ACLS certification as appropriate; and a copy of the individuals ECFMG certificate if applicable.

In order to obtain house staff parking privileges, the following procedure must be followed:

- A parking application must be completed and submitted to the Office of GME, with required supporting attachments as requested.
- Once the application is completed and submitted to the Office of GME, if all conditions have been met, the house officer will receive an appropriate parking card for the parking facility assigned.

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 4 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

- House Staff must maintain control of their vehicles at all times and are responsible for any damage (to vehicle or personal property) while on parking site premises. Vehicles should be parked carefully to avoid loss or damage, and inconvenience to others.
- Vehicles not authorized to park by the Office of GME may be towed away at the owner's expense. Any misuse of this Hospital Policy may subject the House Officer to the GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution.

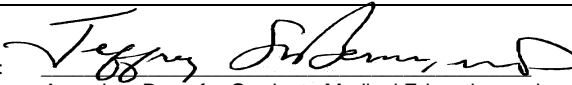
In order to obtain house staff commuter pass privileges, the following procedure must be followed:

- A commuter pass application must be completed and submitted to the Office of GME at least 35 days prior to the monthly commuter pass requested (e.g., an application must be submitted by July 23<sup>rd</sup> for a September Compass).
- Once the application is completed and submitted to the Office of GME, if all conditions have been met, the house officer will be directed to receive a commuter pass.
- House Staff are responsible to pickup their commuter pass at the designated locations within the assigned time frames. Those house staff who do not pickup their commuter pass within the required time frame will become ineligible for commuter pass and parking privileges for the remainder of the academic year. A commuter pass will not be issued without proper identification.
- House Staff with commuter passes that exceed the cost of the discounted zone 1 pass will be responsible to pay the remaining amount by check or money order at time of receipt.
- House Staff who wish to discontinue or change participation in the commuter pass program must provide at least 35 days notice to the Office of Medical Affairs and GME.

### **Meal Benefit**

House Staff in ACGME accredited residency programs are eligible for a financial supplement for meals if they are on rotations where the duty hours exceed 60 per week. In addition, all house staff will have unlimited access to vending services 24 hours a day.

Each year, program coordinators will identify the rotations that exceed 60 duty hours per week when averaged over the rotation. Individual house staff on such rotations will be

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 5 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

eligible to receive a monthly allocation that will be determined annually to subsidize meals.

### **Call Rooms**

House staff must be provided with adequate and appropriate space for resting/sleeping when on duty for more than 16 continuous hours.

The assignment and operational aspects of call rooms to house staff are a joint responsibility of the Office of GME, the training programs and the hospitals. Maintenance issues with call rooms are the responsibility of the Office of GME. Any changes in call room assignment shall be promptly communicated to all parties affected.

### **Lockers**

In order to support safety and security of personal belongings, the Office of GME will work closely with program coordinators in assigning available locker space to house staff at the program level, and in ensuring that all lockers are maintained in good working condition. Provision of locks and assignment of specific spaces within each training program will be the responsibility of clinical departments.

### **Communication Devices**

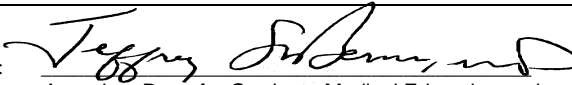
All house staff in core training programs will be eligible to receive either a cell phone or an alpha numeric pager upon matriculation into their training program.

Each device is the property of UPHS and should be used only for hospital or UPHS related business. At the conclusion of training, the device will be returned to the Office of GME. Any resident or fellow who loses a device will be charged a \$25 replacement fee.

Any individual using the device for inappropriate communication will be subject to disciplinary action under the GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution.

### **Cell Phones**

- Any individual user should be aware that all calls to another mobile user on the Office of GME network account are free. All minutes for all residents will be pooled. There are unlimited night and weekend minutes. All phones will

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 6 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

have enterprise messaging capabilities, *i.e.* a text message can be sent from a computer to a phone. Text messaging between phones is an option that departments can add at an additional fee.

- The Office of GME will receive a monthly statement from the vendor. Any charges incurred above the plan rate and attributed to an individual not in compliance with this usage policy will be charged to the home department.

### **Laundry Services**

Access to UPHS issued scrubs will be provided to each house officer free of charge. Such access includes laundry services for all UPHS issued scrubs.

Individual departments may also provide laundry services for white coats.

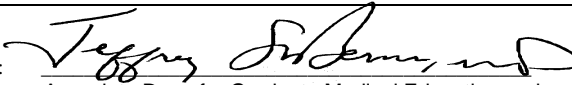
### **E-mail Accounts**

All house staff all residents/fellows must receive and keep current a University of Pennsylvania Health System (UPHS) e-mail account for e-mail communications. The primary means of communication with house staff is e-mail. The Office of GME in conjunction with the program coordinators will be responsible for insuring that each house officer receives a UPHS email account at the time of onboarding to UPHS.

UPHS e-mail may be accessed from any computer with Internet access. Use of the UPHS e-mail account is subject to UPHS Information Security policies and procedures, including but not limited to access, authentication, and password management.

It is the responsibility of the residents/fellows to retrieve their e-mails in a timely manner. It is recommended that e-mail be checked frequently.

University, UPHS and Hospital communications sent electronically by e-mail are subject to the same confidentiality, privacy and records retention requirements and policies as University, UPHS and Hospital communications that are sent non-electronically.

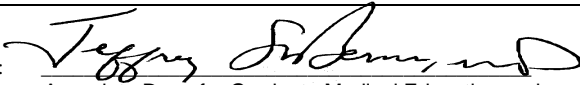
Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-A</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 7 of 7</b> Effective: 06-20-08
	<b>Subject: House Staff Compensation and Benefits</b>	

Any individual using UPHS email for inappropriate communication will be subject to disciplinary action under the GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution.

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission.”

Supersedes: III-G (10/01/05); III-G-1 (7/01/05); III-L (10/01/05); III-BB (6/20/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
---	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

## POLICY

This policy establishes procedures covering informal counseling and corrective action, including warnings, as well as formal discipline, comprising probation, suspension, and dismissal, of house officers. This policy also explains under what circumstances a program may decide not to renew a house officer's appointment.

In addition, this policy sets forth the means by which house officers may seek redress for or appeal discipline or dismissal; nonrenewal of appointment; any alleged inappropriate treatment; nonpromotion and nongraduation; or other issues. This policy supersedes former GME Policy #III-AA Corrective Action, Discipline and Dispute Procedures for House Staff, and provides the exclusive opportunity for formal redress of complaints.

In promulgating this policy, it is the intent of the Graduate Medical Education Committee (GMEC) to ensure continued compliance with Accreditation Council for Graduate Medical Education (ACGME) requirements concerning established "policies on and procedures for grievance and due process" (Institutional Requirements, III.D.f) as well as clarify house officers' rights regarding redress and due process, as set forth below.

## SCOPE

This policy applies to house staff participating in University of Pennsylvania Health System (UPHS) ACGME accredited training programs.

This policy provides the exclusive remedy for house staff appealing formal discipline or nonrenewal of appointment.

Pursuant to this policy house staff may also raise any concern regarding treatment perceived to be inappropriate, unfair, or illegal. Such treatment may include, but is not limited to, duty assignments, scheduling, application of GME policies, nonpromotion and nongraduation, and discrimination or harassment, *except that* complaints of discrimination or harassment on the basis of race, sex, national origin, ethnicity, religion, gender, sexual orientation or gender identity, marital or parental status, age, disability, and veteran status) may be brought and shall be handled in accordance with GME Policy #II-G Prohibited Harassment of House Staff including Sexual, Racial and Gender Discrimination and other established UPHS policies and practices. With the exception of such discrimination and harassment, this policy provides the exclusive formal remedy for concerns regarding inappropriate or unfair treatment; perceived inequitable application of

Supersedes: III-AA (11/01/06)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

rules, policies, or practices; or issues previously handled under former GME Policy #III-AA Corrective Action, Discipline and Dispute Procedures for House Staff.

This policy also provides the exclusive internal remedy for house staff reporting alleged violations of GME Policy #II-B Appropriate Treatment of House Staff.

This policy does not and is not intended to constitute an employment contract or alter any house officer's agreement, nor is it itself intended to create for house officers any legally enforceable contractual right.

### **IMPLEMENTATION AND ADMINISTRATION**

The Designated Institution Official (DIO), Chair of GMEC, GMEC, Office of Graduate Medical Education (GME), clinical department chairs, and program directors are responsible for implementing and applying this policy.

The administrator of this policy shall be the GMEC, in that it alone has the discretionary authority to construe the policy's terms, to reconcile any inconsistency, to resolve disputed issues of fact, and to make determinations and reach conclusions relating to the policy. The GMEC also has the authority to delegate its powers enumerated herein, and, to the extent not inconsistent with this policy, and not specifically disallowed or overruled by the GMEC, the GMEC chair may exercise such powers.

House officers are responsible for complying with the procedures set forth herein when seeking redress. Consistent with the procedure set forth in GME Policy #II-J Ombudsperson for House Staff, it is the responsibility of house staff to seek such redress.

### **DEFINITIONS**

As used herein, informal counseling and corrective action include feedback, constructive criticism, and oral and written warnings. Such communication is distinct from formal discipline, defined below.

Formal discipline comprises probation, suspension, and dismissal.

Appointment nonrenewal means nonrenewal of a house officer's agreement, resulting in its expiration at the end of the current term and termination of employment. Nonrenewal

Supersedes: III-AA (11/01/06)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 3 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

should not be considered disciplinary, and should not be characterized as such in the event a reference or training verification is requested.

## **PROCEDURES**

### **I. Informal Counseling and Corrective Action**

If a department chair or program director or the GMEC chair deems a house officer's performance or conduct to be deficient, and the ordinary elements of the educational program or evaluations appear unavailing, the program director (or his or her designee) should informally counsel or administer corrective action to the house officer. Such communication may come in the form of an oral or written warning that failure to improve will result in formal discipline under this policy.

The first indication or instance of deficient performance or conduct or a violation of policy ordinarily warrants a warning. If not severe, failure to meet moral, ethical, professional, or academic standards, or a failure to fulfill duties or responsibilities, also warrants a warning.

The warning should reference the conduct or concern giving rise to the warning and the program's expectations for improvement, and advise the house officer that a failure to improve will result in formal discipline under this policy. The department chair, program director, or GMEC chair may also prescribe increased supervision for a certain period, consistent with the program's expectations for improvement.

Informal counseling and corrective action, including oral and written warnings, are distinct from the categories of formal discipline set forth below, and accordingly should not be cited as disciplinary in the event a reference or training verification is requested.

### **II. Formal Discipline**

Should a warning fail to resolve the issue, or in the case of a severe instance of misconduct or policy violation, a program may administer formal discipline, as set forth below.

Supersedes: III-AA (11/01/06)	<div style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </div>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 4 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

**A. Grounds for Issuing Formal Discipline**

In accordance with this policy, the GMEC chair or a department chair or program director may discipline house staff under the following circumstances:

- failure to meet patient care standards;
- failure to meet pertinent moral, ethical, or academic standards or standards relating to professionalism;
- failure to fulfill duties or responsibilities as determined by the program (including but not limited to record completion) or as outlined in the house officer agreement;
- failure to uphold obligations in the house officer agreement or breach of the agreement;
- failure to obtain or maintain required licensure, or failure to sit for and pass required examinations, by any applicable deadline;
- violations of UPHS, Hospital of the University of Pennsylvania, University of Pennsylvania Medical Center (UPMC), and/or University of Pennsylvania policies, procedures, or practices, or violations of other entities' applicable policies;
- use or possession of alcohol (except in accordance with a UPHS-sponsored event) and/or illegal drugs while on UPHS property or during working hours or program participation;
- failure to abide by the terms of a return-to-work agreement covered by UPHS's impaired house officer policy, failure to submit to a toxicology screen requested in accordance with policy, or other violation of UPHS's impaired house officer policy;
- personal conduct (including but not limited to commission of a crime) interfering with or precluding proper fulfillment of duties;
- workplace violence;
- insubordination; or
- willful misconduct.

Supersedes: III-AA (11/01/06)	<p style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </p>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 5 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

**B. Procedure for Issuing Formal Discipline**

Only the GMEC chair, a department chair, or a program director may issue formal discipline under this policy. In addition, a program ordinarily should only formally discipline a house officer after the failure of informal counseling and/or corrective action, or in cases of severe misconduct, policy violation, or neglect of duty, or in cases perceived to present an immediate threat to safety.

If in opinion of the GMEC chair and either the department chair or program director a house officer's deficient performance or conduct is attributable to an impairment or impairments covered by UPHS's impaired house officer policy, the GMEC chair and the department chair or program director may opt not to discipline formally, or may opt to reduce the severity of discipline (e.g. from dismissal to probation) on the condition that the house officer agree to be evaluated and, if appropriate, seek treatment for such impairment(s).

**C. Types of Formal Discipline**

1. Probation

Probation generally comprises a period of heightened monitoring of a house officer's performance, as well as the stated intent to re-evaluate his or her performance during and/or after such period.

a. Grounds for Probation

Probation may be appropriate in cases of continued or inexcusably poor performance or repeated or severe violation(s) of policy; where there has been a failure to respond to a warning; as well as in any situation requiring continuous, close monitoring of house officer performance, including any PGY year repeated or return to work under an impaired professional policy.

b. Administration of Probation

At the time the house officer is placed on probation, the house officer should be notified in writing of at least the following:

- the reason(s) for the decision to place the house officer on probation;

Supersedes: III-AA (11/01/06)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	---



<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 7 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

Dismissal may also be warranted for severe or repeated policy violations or any significant incident or repeated incidents of insubordination, dishonesty, willful misconduct, or workplace violence, or personal conduct precluding proper fulfillment of duties. Certain violations of UPHS's impaired house officer policy (including but not limited to use or possession of illegal drugs on UPHS property or during employment or program participation), refusal to submit to a toxicology screen requested in accordance with the policy, or violation of a return-to-work agreement) ordinarily warrant dismissal. Irremediably poor performance and/or poor performance during or following a probationary period or following a suspension, failure to comply with probation terms, or failure to comply with expectations for improvement following a suspension also ordinarily warrants dismissal.

Dismissal is appropriate if a house officer materially breaches his or her house officer agreement or if any material certification or representation from the house officer in the agreement is invalid or untrue.

Conduct presenting an immediate threat to patient, staff, or guest safety, or a significant threat to the facility, may also warrant immediate suspension or dismissal.

b. Administration of Suspension and Dismissal

*A department chair or program director may not suspend or dismiss house staff without conferring first with the GMEC chair, except insofar as safety or program welfare may require immediate action, in which case the department chair or program director should consult with the GMEC chair promptly thereafter.*

1. Suspension

Suspension may be with or without pay, at the discretion of the department chair. Suspension with or without pay also may be characterized and recorded as administrative leave, if appropriate, in cases in which suspension relates to an investigation. Otherwise when suspending a house officer the GMEC chair, department chair, or program director ordinarily should notify the house officer *in writing* of at least the following:

- the reason(s) for the decision to suspend;
- the effective date of the suspension and its end date, if not indefinite due to the need to investigate or for another reason;

Supersedes: III-AA (11/01/06)	<p style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </p>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 8 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

- the program’s expectations for improvement;
- any specific duty or requirement the house officer must fulfill in order to return to the program;
- the consequences of failure to improve or comply with any requirement; and
- his or her right to appeal discipline in accordance with GME policy. Specifically, notification should include a statement substantially similar to the following:  
*“Within 30 days of today’s date, you may appeal your suspension by addressing a written statement to the chair of the Graduate Medical Education Committee in accordance with GME policy on discipline and dispute resolution.”*

A copy of the written notification must be provided to the GMEC chair, and it ordinarily shall be included in the house officer’s file.

## 2. Dismissal

The chair or program director should notify the house officer in writing of the effective date of dismissal. *The written notification to the house officer should also include a statement substantially similar to the following: “Within 30 days of today’s date, you may appeal your dismissal by addressing a written statement to the chair of the Graduate Medical Education Committee in accordance with GME policy on discipline and dispute resolution.”* A copy of this notification must be provided to the GMEC chair, and it ordinarily shall be included in the house officer’s file.

### C. Opportunity for Redress

#### Step 1: Submission of Request

If a house officer believes any formal discipline administered to him or her is excessive, unwarranted, unfair, or otherwise objectionable, he or she must ask the GMEC chair *in writing* to review the matter. The following is required of the house officer in order that his or her request might be reviewed:

- the written request should be submitted in confidence to the Office of GME, addressed to the GMEC chair;
- the office must *receive* the request within 30 days of the date the house officer became aware of the discipline; and

Supersedes: III-AA (11/01/06)	 Issued By: _____ Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-------------------------------	--

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 9 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

- the request must contain or be accompanied by a written account setting forth in detail the house officer's version of any incident(s) preceding the discipline, as well as any and all reasons the house officer believes the discipline to be excessive, unwarranted, unfair, or otherwise objectionable.

Step 2: GMEC Chair Review

Upon receipt of a written request and the house officer's account, the GMEC chair shall review the request for a period of no more than 30 days. The GMEC chair may dismiss the request if it fails to meet the requirements set forth in Step 1. During the 30-day period, the GMEC chair may also review the request with the department chair, the program director, and/or the house officer, in an attempt to facilitate resolution.

The GMEC chair may appoint another member of the GMEC to perform the foregoing tasks in any case in which the GMEC chair's impartiality might reasonably be questioned.

Step 3: Final Review by GMEC

If the matter is not resolved, the GMEC chair shall present the request to the GMEC for further review. The GMEC meeting should take place within 60 days of the house officer's submitting the request, except if extraordinary circumstances require additional time. At such meeting the GMEC chair shall preside and charge the GMEC with reviewing the house officer's request and account as well as any statements the department chair and/or program director may wish to submit. The GMEC or a designated subcommittee or member may also interview any witness or interested party, at or in advance of the GMEC's meeting. At the meeting any GMEC member affiliated with the house officer's department shall recuse himself or herself from voting. A majority vote of GMEC members present and voting shall be required to reverse or modify discipline. The GMEC may meet on multiple occasions, but its vote shall occur only once, and absentee ballots shall not be considered. All decisions from the GMEC shall be final, and shall be communicated in writing to the house officer.

Failure to submit a timely written request, as well as failure to provide a written account as described above, or appear at the request of the GMEC, its chair, or its designee, shall be deemed abandonment of the opportunity for redress under this policy.

Supersedes: III-AA (11/01/06)	<p style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </p>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 10 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

During any review of a house officer's request, all discipline against the house officer shall be stayed, although the house officer may be placed on paid or unpaid administrative leave if in the opinion of the GMEC chair such leave is necessary for safety or program welfare.

If any of the deadlines set forth above falls on a weekend or holiday, the deadline shall be the next business day.

The procedure outlined above shall be the house officer's exclusive remedy within UPHS. At the time or at any time after the house officer submits his or her request, he or she may ask the GMEC chair to appoint a School of Medicine faculty member as the house officer's advisor. A house officer shall not have the right to be advised by any faculty member he or she chooses, unless such faculty member and the GMEC chair consent to the choice; nor shall a house officer have the right at any time to appear before the chair or GMEC accompanied by an attorney.

Consistent with the principles underpinning GME Policy #II-J Ombudsperson for House Staff, no house officer shall be subject to discipline or corrective action, or otherwise discriminated against with respect to the terms or conditions of employment, for action taken or statements made in good faith under the procedure outlined above. The making of knowingly false or reckless accusations or statements under this policy violates acceptable norms of behavior for UPHS house staff.

### **III. Agreement Nonrenewal**

Agreement nonrenewal results in the house officer's termination from the program upon expiration of the current agreement's term.

#### **A. Notification and Grounds for Nonrenewal**

In lieu of administering formal discipline, a program may opt not to renew a house officer's agreement where there has been continued or inexcusably poor performance or repeated or severe violation(s) of policy *and* the house officer has failed to improve performance in response to a warning. The GMEC chair or a department chair or program director may also opt not to renew a house officer's agreement whenever a house officer has failed to complete or cannot complete any action required to maintain licensure, or otherwise becomes ineligible for further participation and/or employment. A

Supersedes: III-AA (11/01/06)	<div style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </div>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 11 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

*department chair or program director must confer with the GMEC chair about any decision not to renew.*

A program must provide written notice of its decision not to renew at least four months before the house officer's current agreement expires. If the basis for nonrenewal arises within this four-month period, however, the program should provide notice as soon as practicable. Notification of nonrenewal should include a statement, advising the house officer of his or her opportunity for redress, in a form substantially similar to the following: *“Within 30 days of today's date, you may appeal this decision by addressing a written statement to the chair of the Graduate Medical Education Committee in accordance with GME policy on agreement nonrenewal.”*

Nonrenewal may also occur due to a decision to reduce the size of or close a residency program. In the event UPHS decides to reduce the size of or close an ACGME accredited program, any house officer affected by such decision must be advised as soon as practicable that his or her agreement will not be renewed. Under such circumstances, UPHS GME will allow such residents either to complete their training or will assist such residents to enroll in an ACGME-accredited program in which they can continue their education.

*Note that in all circumstances, nonrenewal should not be considered disciplinary, and should not be characterized as such in the event a reference or training verification is requested.*

### **B. Opportunity for Redress**

A house officer may appeal a decision not to renew by submitting in confidence a written request and account to the Office of Graduate Medical Education, addressed to the chair. The chair must receive such request within 30 days of the date the house officer is notified of the decision not to renew. The request will be reviewed in accordance with the three-step procedure outlined above in subsection I.C. This procedure shall be the house officer's exclusive remedy within UPHS; specifically, the house officer may not invoke the UPMC employee grievance procedure.

Failure to submit a timely written request, as well as failure to provide a written account as described above, or appear at the request of the GMEC, its chair, or its designee, shall be deemed abandonment of the opportunity for redress under this policy.

Supersedes: III-AA (11/01/06)	<div style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </div>
-------------------------------	---

<b>GME Policy #: II-I</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 12 of 14</b> Effective: 03-14-08
	<b>Subject: House Staff Discipline, Non-renewal and Dispute Resolution</b>	

If GMEC review of a house officer's request runs beyond the expiration of the house officer's current agreement, the house officer ordinarily will at that time be placed on unpaid administrative leave.

At the time or at any time after the house officer submits his or her request, he or she may ask the GMEC chair to appoint a School of Medicine faculty member as the house officer's advisor. A house officer shall not have the right to be advised by any faculty member he or she chooses, unless such faculty member and the GMEC chair consent to the choice; nor shall a house officer have the right at any time to appear before the GMEC chair or GMEC accompanied by an attorney.

Consistent with the principles underpinning GME policy #II-J Ombudsperson for House Staff, no house officer shall be subject to discipline or corrective action, or otherwise discriminated against with respect to the terms or conditions of employment, for action taken or statements made in good faith under the procedure outlined above. The making of knowingly false or reckless accusations or statements under this policy violates acceptable norms of behavior for HUP house staff.

#### **IV. Dispute Resolution/Redress for Inappropriate Treatment**

Minor issues may be resolved informally, often during everyday discussion between the house officer and the program director. A house officer who seeks GMEC intervention, however, must file a complaint and follow the formal process outlines below. This includes allegations of inappropriate treatment in violation of GME Policy #II-B Appropriate Treatment of House Staff, complaints regarding nonpromotion or nongraduation, or any complaint alleging discriminatory conduct or a violation of law, regulation, or policy.

##### Step 1: Submission of Request

A house officer filing a complaint must ask the GMEC chair *in writing* to review the matter. The following is required of the house officer in order that his or her request might be reviewed:

- the written request should be submitted in confidence to the Office of GME, addressed to the GMEC chair; and the request must contain or be accompanied by a written account setting forth in detail the house officer's complaint as well as the facts relating to the incident or conduct in question.

Supersedes: III-AA (11/01/06)	<div style="text-align: center;">             Issued By: _____            Associate Dean for Graduate Medical Education and            Chair, Graduate Medical Education Committee         </div>
-------------------------------	---





<b>GME Policy #: II-J</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 2</b> Effective: 03-14-08
	<b>Subject: Ombudsperson for House Staff</b>	

**POLICY**

The University of Pennsylvania Health System (UPHS) is committed to providing house staff with opportunities to raise concerns and make suggestions to UPHS leadership.

**PURPOSE**

To describe the processes by which house staff may raise concerns or present suggestions with fear of reprisal and to outline the function of the house staff ombudsperson.

**SCOPE**

This policy applies to all house staff participating in UPHS training programs.

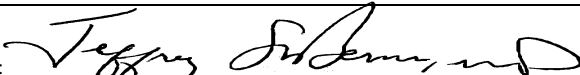
**IMPLEMENTATION**

The Designated Institution Official (DIO), Chair of Graduate Medical Education (GMEC), GMEC, Office of Graduate Medical Education (GME), program directors and clinical department chairs. In addition, the person(s) appointed as ombudsperson should follow this policy with respect to such responsibility.

**PROCEDURE**

**I. Open Door**

The “open door” refers to house officers’ opportunity to write to or meet with program directors or the DIO with respect to concerns or suggestions regarding the training program. Program directors should make themselves available upon reasonable request to meet with house officers regarding any such matter. House officers with allegations of inappropriate treatment in violation of GME Policy #II-B Appropriate Treatment of House Staff should use the dispute resolution procedures set forth in GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution in contacting the GMEC chair. Suggestions regarding graduate medical education generally may also be forwarded to the GMEC chair.

Supersedes: III-Q (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-J</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 2</b> Effective: 03-14-08
	<b>Subject: Ombudsperson for House Staff</b>	

**II. Ombudsperson(s)**

There shall be an ombudsperson(s) whose appointment shall be as determined by the House Staff Committee in consultation with the GMEC chair. The ombudsperson(s) may assist house officers in the informal resolution of disputes or act as mediator with respect to such disputes or issues. The House Staff Committee shall be responsible for advising house officers of the ombudsperson(s) during any given period, and the ombudsperson(s) shall be available to house officers upon reasonable request. If appropriate to any particular issue, the ombudsperson(s) may refer the house officer to the dispute resolution procedures in GME Policy #II-B.

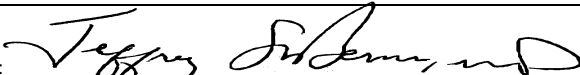
With respect to any matter that includes an allegation or concern of prohibited harassment, including sexual harassment (see GME Policy #II-G Prohibited Harassment of House Staff including Sexual, Racial and Gender Discrimination), the ombudsperson(s) must report such allegation to the GMEC chair.

**III. No Retaliation**

No house officer shall be subject to discipline or corrective action, or otherwise discriminated against with respect to the terms or conditions of employment, for action taken or statements made in good faith under this policy. The making of knowingly false or reckless accusations or statements under this policy violates acceptable norms of behavior for UPHS house staff.

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission."

Supersedes: III-Q (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-M</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 3</b> Effective: 06-20-08
	<b>Subject: Roles and Responsibilities of House Staff</b>	

## **POLICY**

Written descriptions of the roles, responsibilities and patient care activities of the participants of graduate educational programs must be provided to the medical and hospital staff to meet regulatory requirements.

Additionally, the descriptions must specify the mechanisms by which program directors make decisions about each participant's progressive involvement and independence in specific patient care activities.

## **SCOPE**

This policy applies to all trainees in University of Pennsylvania Health System (UPHS) sponsored training programs.

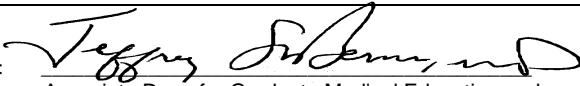
## **IMPLEMENTATION**

The implementation of this policy is the responsibility of the Designated Institution Official (DIO), Graduate Medical Education Committee (GMEC), the Office of Graduate Medical Education (GME), Departments Chairs and Program Directors.

## **PROCEDURE**

All UPHS PGY 1 residents will have the following role and responsibilities related to patient care at any UPHS facility:

- Perform complete history and physical examinations on all new in-patients and outpatients for whom they have primary responsibility.
- Examine all data related to the management of patients they have evaluated.
- Synthesize all available information to generate differential diagnoses and subsequent diagnostic and therapeutic plans.
- Communicate the synthesis of the above information in both an oral and written format to their supervising residents and faculty members according to the UPHS Supervision Policy.
- Be responsible for the follow-up of all tests and procedures ordered for patients under their care.
- Perform procedures specified by their department under supervision of appropriately certified personnel (may be an advanced trainee, faculty member or nurse practitioner) until procedural competence is obtained.

Supersedes: IV-P (1/01/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
----------------------------	---

<b>GME Policy #: II-M</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 3</b> Effective: 06-20-08
	<b>Subject: Roles and Responsibilities of House Staff</b>	

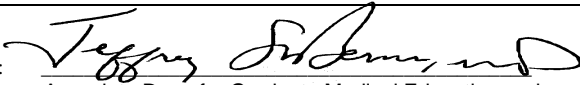
- The standards for procedural competence will be determined at the departmental level in accordance with ACGME and ABMS requirements.
- Procedural competence will be tracked by the Office of GME software management system, New Innovations.
- Perform adequate documentation of all patient encounters including admissions history and physicals, progress notes, discharge summaries and operative reports as per departmental policy.
- Participate in core conferences as designated by their training program.
- Complete evaluations for faculty as per departmental policy.
- Promotion of residents to the next PGY level will be based on departmental policy for advancement.

All UPHS PGY 2 residents may have the following additional roles and responsibilities related to patient care at any UPHS facility:

- Supervise PGY 1 residents according to departmental policy.
- Communicate with supervising faculty members according to the UPHS supervision Policy.
- Assume a supervisory role for medical students, if applicable.
- Provide verbal feedback about performance to medical students and PGY 1 residents if applicable.
- Respond to and supervise CODE calls and RRTs as per departmental policy.
- Develop effective time management skills that enable team members to meet the duty hour requirements.
- Promotion of residents to the next PGY level will be based on departmental policy for advancement.
- Provide consultative services.

All UPHS PGY 3 and above residents may have the following additional roles and responsibilities in addition to those designated for PGY 2 residents related to patient care at any UPHS facility:

- Develop a comprehensive approach to self-directed learning based on one's own perceptions of gaps in fund of knowledge as well as the results of objective assessments.
- Participate in the educational committees of their department.
- Participate in departmental Quality Assurance activities.

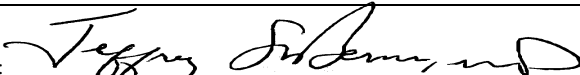
Supersedes: IV-P (1/01/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
----------------------------	---

<b>GME Policy #: II-M</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 3 of 3</b> Effective: 06-20-08
	<b>Subject: Roles and Responsibilities of House Staff</b>	

- Participate in University of Pennsylvania Health System committees requiring housestaff representation.
- Promotion of residents to subsequent PGY levels will be based on departmental policy for advancement.

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission.”

Supersedes: IV-P (1/01/07)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
----------------------------	---

<b>GME Policy #: III-F</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 5</b> Effective: 04-20-07
	<b>Subject: House Staff Moonlighting</b>	

## **POLICY**

Moonlighting is defined as compensated clinical work performed by a resident or fellow (“house officer”) during the time that he/she is a member of a University of Pennsylvania Health System (UPHS) sponsored training program that is outside of the authorized training program.

The Graduate Medical Education Committee (GMEC) and the UPHS sponsored Graduate Medical Education (GME) programs take seriously the responsibility of ensuring a high quality learning environment for house officers, notably by ensuring a proper balance between education and patient care activities within duty hour limitations as prescribed by the Accreditation Council for Graduate Medical Education (ACGME) Institutional and Program Requirements. Because of these concerns, moonlighting is, in general, discouraged for house officers in ACGME accredited programs sponsored by UPHS. During residency and fellowship training, the house officer’s primary responsibility is the acquisition of knowledge, attitudes, and skills associated with the specialty in which he/she is being instructed.

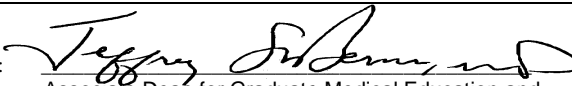
Under special circumstances, a house officer may be given permission by his/her program director to engage in moonlighting. In such cases, the moonlighting workload must not interfere with the ability of the house officer to achieve the goals and objectives of his or her GME program and must not interfere with the house officer’s ability to perform his/her obligations and duties as a member of the training program. No house officer shall be compelled to moonlight under any circumstances and the house officer must **not** be required to moonlight to meet the service needs of his/her department.

## **SCOPE**

This policy applies to all UPHS entities and UPHS sponsored GME programs. Both internal and external moonlighting by UPHS sponsored house officers are covered by this policy.

## **IMPLEMENTATION**

The implementation of this policy is the responsibility of the GMEC, the Office of GME, Departments Chairs and Program Directors. Each program may have its own supplemental policy on moonlighting activities, which may be more restrictive than that of UPHS.

Supersedes: IV-F	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
------------------	---

<b>GME Policy #: III-F</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 5</b> Effective: 04-20-07
	<b>Subject: House Staff Moonlighting</b>	

## PROCEDURE

### Applicable to External and Internal Moonlighting:

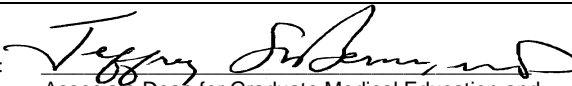
To seek approval for moonlighting, a house officer must submit a written request to his/her Program Director. All programs will use the UPHS moonlighting form for such requests. The Program Director will provide written approval **in advance** of the moonlighting experience. A copy of the completed form will be placed in the house officer's file and a copy will be provided to the Office of GME and be available for GMEC monitoring.

A Program Director's decision to approve or deny a moonlighting request will depend on one or more of a variety of factors, including but not limited to:

- Interference with the house officer's responsibilities in the training program;
- Individual circumstances of the requesting house officer;
- Legal status of the requesting house officer;
- Total work hours involved in the moonlighting activity;
- Total work hours and compliance with the 80-hour work week policy of ACGME.

The house officer must abide by the following rules related to moonlighting:

- Submit a signed copy of the institutional "Request to Moonlight Form" to the Program Director and receive the Program Director's written approval before moonlighting. UPHS requires that the Program Director acknowledge in writing that he/she is aware that the house officer is moonlighting, and that this information is made part of the house officer's folder.
- Obtain an unrestricted license to practice medicine in the state where the moonlighting will occur or for Type 1 Internal Moonlighting in the UPHS hospital a Pennsylvania Interim License. **House officers on J-1 visas are prohibited from moonlighting.** An exchange visitor who engages in unauthorized employment shall be deemed in violation of his/her program status and is subject to termination as a participant in an exchange visitor program. With an Interim License a PGY 2 or 3 (without an unrestricted license) resident can participate in moonlighting within the department and institution. This must be moonlighting outside of the scope of their current training program and counts towards duty hours. Programs will need to provide the rationale for the moonlighting to GMEC for approval. The resident will need to complete a "Request of Moonlight Form".
- Understand that participating in moonlighting without prior approval of his/her Program Director (as stipulated in this policy and in the house officer's employment agreement) may be grounds for disciplinary action including dismissal from the training program.

Supersedes: IV-F	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
------------------	---

<b>GME Policy #: III-F</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 3 of 5</b> Effective: 04-20-07
	<b>Subject: House Staff Moonlighting</b>	

- Assure the Program Director that the total hours in the combined educational program and moonlighting commitments **do not exceed** the limits set by the ACGME.

**External moonlighting:**

External moonlighting is compensated clinical work that is not a part of the house officer's training program and occurs outside of UPHS training programs. External moonlighting also includes such compensated clinical work that is not part of the house officer's training program and that occurs at participating educational affiliates that are not owned and operated by the University of Pennsylvania as part of the UPHS. By way of example, moonlighting at the Veterans Administration Medical Center (VAMC), Children's Hospital of Philadelphia (CHOP) or Reading Hospital are considered external moonlighting, whereas moonlighting at Pennsylvania Hospital (PaH), Penn Presbyterian Medical Center (PPMC) or Hospital of the University of Pennsylvania (HUP), would not be external moonlighting.

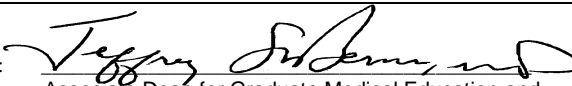
A Program Director may permit a house officer to engage in external moonlighting giving due consideration to the goals of training and education while also recognizing that the ACGME does not require regulation of external moonlighting. In this regard house officers should understand the following points related to external moonlighting:

- The moonlighting opportunity does not replace any part of the clinical experience that is integral to the house officer's training program.
- The house officer is licensed for unsupervised, independent medical practice in the state where the moonlighting will occur.
- The house officer considering moonlighting is encouraged to obtain written assurance of professional liability (including "tail" insurance), and workers' compensation coverage from the outside employer. Professional liability, general liability insurance (malpractice coverage) and workers compensation insurance are provided by UPHS only for those activities that are approved components of the training program. There is NO insurance coverage provided by UPHS for moonlighting activities outside of the scope of the training program.

The house officer must refrain from wearing anything identifying himself/herself as a trainee in a UPHS sponsored training program when moonlighting outside of UPHS hospitals.

The house officer must agree to hold harmless and indemnify UPHS and its training programs for any and all activities that occur as part of external moonlighting activities. The time spent in the moonlighting activity must not be included on UPHS' cost reports for Graduate Medical Education.

**Internal moonlighting:**

Supersedes: IV-F	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
------------------	---

<b>GME Policy #: III-F</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 4 of 5</b> Effective: 04-20-07
	<b>Subject: House Staff Moonlighting</b>	

UPHS departments and programs that desire to allow UPHS house officers to participate in internal moonlighting and similar off hours coverage activities in UPHS hospitals and programs must apply annually to the GMEC for approval of the internal moonlighting activities. The application must include a written description of the functions and duties that will be performed and that are separately identifiable from and outside the scope of the training program. House officers must be qualified to perform the functions specified and privileged or otherwise appropriately approved to perform the internal moonlighting activity according to the applicable UPHS hospital and medical staff bylaws, policies, rules and regulations.

The following applies to all Internal moonlighting:

- Moonlighting that occurs within UPHS' primary clinical site(s) will be counted toward the ACGME duty hour regulations.
- The house officer shall not moonlight internally in a non-exempt position.
- The patient care site must be specified.
- A current affiliation agreement must be in effect between UPHS as the sponsoring institution and the participating UPHS entity site (e.g. PaH, PPMC, Clinical Care Associates), and the program must have a current program agreement with the site if the internal moonlighting activity is with a participating UPHS entity.

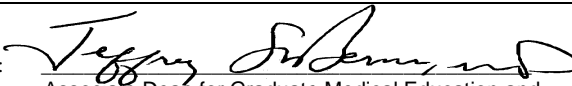
There are two (2) types of internal moonlighting:

**Type 1:**

The compensated clinical work occurs at the specific training program or at its participating UPHS hospital institutions and although it is an extension of the same type and location of clinical work performed as a requirement of the GME program, it is outside of the scope of the authorized training program and is separately identifiable.

For a house officer to participate in this type of internal moonlighting, all of the following conditions must be met:

- The house officer must be a current trainee in the program, and must be in good standing.
- The activity must meet ACGME requirements, including requirements for attending physician supervision.
- For hospital-based Type 1 internal moonlighting, the individual house officer must be qualified and privileged or otherwise appropriately approved for the moonlighting activity by the applicable UPHS hospital medical staff and governing body according to applicable Hospital and medical staff bylaws, policies, rules and regulations.
- The house officer must accurately report to the program director the hours worked on moonlighting activity.

Supersedes: IV-F	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
------------------	---

<b>GME Policy #: III-F</b>	<b>Graduate Medical Education Policy &amp; Procedures</b> <b>University of Pennsylvania Health System</b>	<b>Page 5 of 5</b> Effective: 04-20-07
	<b>Subject: House Staff Moonlighting</b>	

- The house officer's professional services rendered during the moonlighting activity should be documented but should not be billed for. However, the attending physician providing supervision may link with the house officer's documentation of past, family, social history, and review of systems.

**Type 2:**

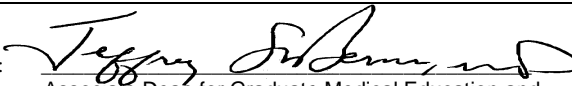
The compensated clinical work occurs within the participating institution(s). This type of internal moonlighting involves clinical work performed in the house officer's area of primary training (and not in the more specialized area in which he/she is obtaining advanced training), and for which the house officer is already qualified to practice independently and meets the requirements of the applicable Hospital medical staff bylaws, policies, rules and regulations to practice as an independent member of the medical staff. Examples include the following: A fellow in Gastroenterology may perform internal moonlighting as an attending physician-level internist. A fellow in Surgery Critical Care may perform internal moonlighting as an attending physician-level general surgeon.

For a house officer to participate in Type 2 internal moonlighting, all of the following conditions must be met:

- The house officer must be a current trainee in the program, and must be in good standing.
- The activity may not be in violation of ACGME requirements.
- The house officer must have an unrestricted Pennsylvania medical license to practice independently.
- The house officer has hospital privileges as an active member of the medical staff for the internal moonlighting activities.
- The house officer has attending physician level professional liability coverage.
- For in-patient hospital-based Type 2 internal moonlighting, the individual house officer must **not** be included on the UPHS cost report for the training program and must be in a non-ACGME training program.
- For outpatient and Emergency Department-based Type 2 internal moonlighting, the individual house officer **may** be included on the UPHS cost report for the training program and may be in an ACGME training program. A copy of the contracts for these services should be provided to UPHS, Finance Department, Hospital Reimbursement.
  - House officers may not use or forfeit paid vacation time to perform Outpatient or Emergency-Based Type 2 internal moonlighting.

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission."

Supersedes: IV-F	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
------------------	---

<b>GME Policy #: II-C</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 2</b> Effective: 03-14-08
	<b>Subject: Professional Liability for House Staff</b>	

## POLICY

House Staff engaged in accredited residency and fellowship training programs are employed by University of Pennsylvania Health System (UPHS). During the course of their training, house staff may rotate to institutions other than Hospital of the University of Pennsylvania (HUP) to broaden their educational experience. These rotations must take place within the confines of a formal agreement with the affiliate institution. House Staff are covered by UPHS professional liability program while participating in patient care activities.

## SCOPE

This policy applies to all trainees employed by UPHS.

## IMPLEMENTATION

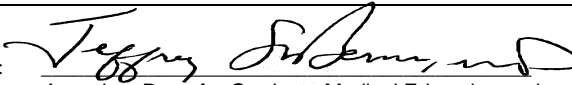
The implementation of this policy is the responsibility of the Chair of each Department and the Directors of Residency Training (Program Directors) and Program Coordinators in coordination with the Office of Graduate Medical Education (GME) the Office of General Counsel, the Clinical Practices of the University of Pennsylvania (CPUP) Financial Operations Malpractice Coordinator, and UPHS Corporate Finance.

## PROCEDURE

### 1. Coverage for house staff on rotation within UPHS facilities:

- House Staff are covered by the UPHS professional liability program while performing duties relating to the training program.
- PGY 1 and PGY 2 residents are provided professional liability coverage as part of the general hospital coverage. The basic coverage is \$1,000,000 per occurrence and \$4,000,000 in the aggregate as required by Pennsylvania's Act 13, The Medical Care Availability and Reduction of Error Act.
- Trainees in UPHS programs who have successfully completed 2 years of post graduate training (or 3 years for foreign medical graduates) are provided individual professional liability coverage. The basic coverage for each physician is \$1,000,000 per occurrence and \$3,000,000 in the aggregate as required by Pennsylvania Act 13, The Medical Care Availability and Reduction of Error Act.

### 2. Coverage for house staff of an affiliate institution on rotation outside UPHS facilities:

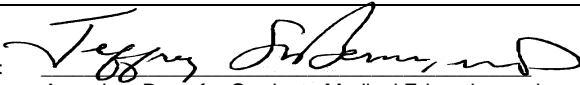
Supersedes: III-M (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-C</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 2</b> Effective: 03-14-08
	<b>Subject: Professional Liability for House Staff</b>	

- House Staff on rotation from an affiliate institution must have professional liability insurance through the affiliate institution. Documentation stating that the house officer is fully insured while training at UPHS must be submitted to the Office of GME prior to the start of the rotation.
3. Coverage for UPHS house staff on rotation at an affiliated hospital outside UPHS facilities:
- UPHS house staff on rotation at an affiliate hospital are to be provided sufficient professional liability coverage, and comprehensive general liability coverage for bodily injury and property damage (with UPHS and the University of Pennsylvania Trustees named as insured and provide indemnification and hold harmless clause for the same). This coverage is to be provided by the affiliate according to UPHS standards and agreements.
4. Coverage for UPHS house staff while engaged in clinical activities outside the training program (“moonlighting”):
- For external moonlighting (outside the health system), the professional liability insurance coverage shall be provided either by the external facility or by the trainee. Neither the sponsoring institution nor the training program provides professional or general liability insurance for trainees when they perform moonlighting services outside the scope of their training program.
  - For internal moonlighting (within a UPHS facility), professional liability coverage will be provided in accordance with applicable policies and procedures.
5. Coverage for house staff for claims arising from clinical activities undertaken while in training but which are filed after completion of training (“tail coverage”) is also provided.
6. House Staff who are provided individual professional liability coverage by UPHS as set forth above must be rostered. Program Directors/Program Coordinators must provide the required information sufficiently in advance of the rotation to the Office of GME and the CPUP Financial Operations Malpractice Coordinator.

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission.”

Supersedes: III-M (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 1 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

## **POLICY**

Time off and leaves of absence must be made available to house staff, in order to balance the demands of training programs with trainees' personal needs and the needs of their families. All time off shall be granted according to this policy and the policies of training programs, as well as University of Pennsylvania Health System (UPHS) policy, where appropriate.

## **PURPOSE**

The purpose of this policy is to specify the types of absence available to house staff; to outline policies for requesting and approval of absence from training and the impact of extended absence on the completion of a training program; and to provide a process for monitoring the compliance of all programs with absence policies and regulations.

## **SCOPE**

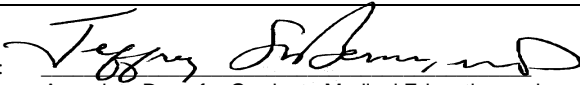
This policy applies to all house officers in Accreditation Council for Graduate Medical Education (ACGME) accredited, UPHS sponsored training programs.

## **IMPLEMENTATION**

The implementation of this policy is the responsibility of the Designated Institution Official (DIO), Graduate Medical Education Committee (GMEC), Associate Dean for Graduate Medical Education (GME), the Office of GME, Department Chairs and Program Directors.

## **PROCEDURES**

1. House Staff absence from training shall fall into the following general categories:
  - Vacation
  - Personal days (including occasional days off due to minor illness or injury)
  - Family/medical leave
  - Military leave
  - Extended leave of absence
  
2. House Staff shall have access to Human Resources to discuss a potential need for leave.

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 2 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

3. In addition to this policy and UPHS policies, each training program must develop its own policy concerning absences and leave that does the following:

- Describes the process for requesting vacation, personal days, or leave
- Describes the circumstances under which leave is appropriate
- Describes the conditions of any absence or leave, including how an extended leave might affect the house officer's completion of the training program or eligibility for specialty certification exams or certification by the relevant certifying board
- Describes when a house officer may be required to repeat training or may be terminated from a program as a result of extended leave

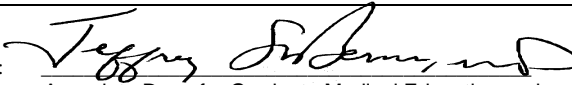
In developing this policy, the program director must consider the needs of other house staff, ACGME requirements, the requirements of any relevant certification board, and other related requirements.

4. The training program director shall approve or deny all absence or leave requests. The program director may consult with human resources personnel in making such decisions.

5. Family/Medical Leave: Upon commencement of training, house officers are eligible to apply for family/medical leave under the Family and Medical Leave Act of 1993 ("FMLA").

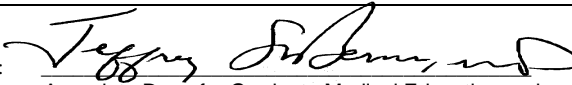
(a) House officers may use up to 12 weeks of FMLA leave in any rolling 12-month period. House officers should apply through the program director. FMLA leave is available for the birth, placement for adoption, or placement for foster care of a child, or for the house officer's own serious health condition or the serious health condition of a family member, as defined by University of Pennsylvania Medical Center leave of absence policy (#2-06-07).

(b) House officers are may receive up to six weeks of paid FMLA leave (of the 12 total weeks available) in any rolling 12-month period, when the leave is taken for their own serious health conditions, or for the birth, placement for adoption, or placement for foster care of a child. Once such paid leave is exhausted, the house officer may use any available vacation for the remainder of his or her FMLA leave. House officers may also receive short-term disability benefits if enrolled in the short-term disability plan and eligible under the terms of the plan. FMLA leave will be unpaid for house officers not receiving short-term disability benefits who have exhausted or are not using vacation.

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 3 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

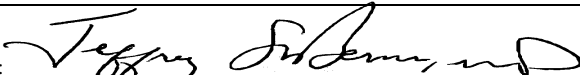
- (c) It shall be left to the discretion of each program, based on scheduling requirements, whether a house officer whose FMLA leave would otherwise be unpaid must use vacation while on FMLA leave. The program shall provide in its specific leave policy whether such requirement applies.
  - (d) Spouses or domestic partners who are both employed as house officers will be eligible in any rolling 12-month period for a total of 12 weeks of FMLA leave for the birth, placement for adoption, or placement for foster care of a child, of which total there shall be no more than six weeks' paid leave.
  - (e) Benefits continue for the duration of the leave, for which the house officer must continue his or her contribution. House officers taking unpaid FMLA leave must make contribution payments on a monthly basis, or benefits may lapse.
  - (f) House officers may be required to provide certification from a health care provider (consistent with Department of Labor requirements) in connection with an application for FMLA leave, or such leave may be delayed or denied, and in order to return from such leave.
  - (g) A house officer may not perform any work while on FMLA leave.
  - (h) House officers are ineligible for "other medical leave" under University of Pennsylvania Medical Center Leave of Absence Policy (#2-06-07).
6. Military leave shall be covered by UPMC policy (#2-01-05) and shall be administered in accordance with the Uniformed Services Employment and Re-employment Rights Act and related regulations.
  7. A request for an extended leave of absence may be granted or denied at the discretion of the department or program, and in evaluating any such request, the department or program may take into account the house officer's performance, reason for the request, and likelihood of returning to the program.
  8. If cumulative absences negatively impact the number of months of training for a trainee with respect to the number of months required to satisfy the criteria for completion of a residency or fellowship program, the program director must assess the trainee's ability to fulfill his/her educational obligations and may require additional training time. Individual residency review committee (RRC) and/or specialty board criteria for satisfactory completion of each residency program will determine the amount of additional training required.

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures</b> University of Pennsylvania Health System	<b>Page 4 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

**MONITORING**

The GMEC, via the Internal Review process, shall monitor each program's compliance with absence policies and house staff satisfaction with those policies. A house officer seeking redress for allegedly inappropriate treatment may file a complaint with the Committee by following the process outlined in the GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution policy.

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 5 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

[Sample Department Vacation and Leave policy]  
**VACATION AND LEAVE**

**POLICY**

Each house officer will be entitled to 4 weeks of vacation each year and may be eligible for leave under certain terms and conditions. Any house officer absent for more than one month (not including vacation) will be required to extend training to make up lost time.

**PURPOSE**

The purpose of this policy is to outline available vacation and leave eligibility and conditions for program participants, subject to GME Policy #II-E Vacation and Leave for House Staff.

**SCOPE**

This policy applies to all house officers in the [department or division] at the Hospital of the University of Pennsylvania (HUP).

**IMPLEMENTATION**

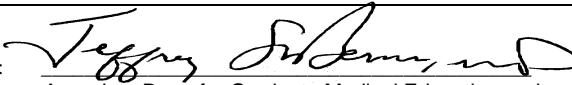
The program director and chief resident(s) are responsible for implementing this policy.

**PROCEDURE**

Each house officer is entitled to four weeks of vacation per academic year, including six days around the Christmas and New Year’s holidays. Vacation must be requested and approved in advance; vacation during and around holidays may be assigned by the program.

Personal days, defined as a 24-hour period for personal or family illness, bereavement, and family emergencies, must be paid back to the coverage pool. Use of more than 7 personal days will result in extension of training time and/or may be disallowed.

Upon commencement of training, house officers are eligible to apply for family/medical leave under the Family and Medical Leave Act of 1993 (“FMLA”), in accordance with GME Policy #II-E Vacation and Leave of Absence for House Staff. Once paid FMLA leave under the GME policy is exhausted, the house officer [must][may][may not] use available vacation concurrently in lieu of unpaid leave.

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---

<b>GME Policy #: II-E</b>	<b>Graduate Medical Education Policy &amp; Procedures University of Pennsylvania Health System</b>	<b>Page 6 of 6</b> Effective: 06-20-08
	<b>Subject: Vacation and Leave for House Staff</b>	

Vacations requests and applications for leave shall be submitted to the program director.

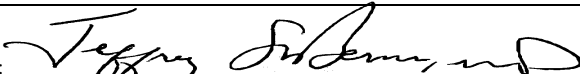
Any unauthorized absence, or failure to provide proper notice as required by this or GME policy, may subject the house officer to corrective action and/or discipline in accordance with GME Policy #II-I House Staff Discipline, Non-renewal and Dispute Resolution. Any house officer absent without approved leave for three days or more, or on family or medical leave for greater than 12 weeks without expectation of imminent return, may be terminated by the program.

[specific discussion of eligibility for certification or exams in light of extended or excessive leave, if necessary]

Military leave shall be covered by UPMC policy (#2-01-05).

**Disclaimer**

Any printed copy of this policy is only as current as of the date it was printed; it may not reflect subsequent revisions. Refer to the on-line version for most current policy. Use of this document is limited to University of Pennsylvania Health System workforce only. It is not to be copied or distributed outside the institution without administrative permission."

Supersedes: III-N (7/01/04)	Issued By:  Associate Dean for Graduate Medical Education and Chair, Graduate Medical Education Committee
-----------------------------	---