

UAB MEDICINE *Interdisciplinary Policy*

Title: Observer Policy		
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Approved: <u>Loring Rue</u> 05/23/16 Loring Rue, MD, FACS Date Chief Medical Officer UAB Health System	Approved: N/A Date	Discontinued:

PURPOSE: To provide guidelines to ensure compliance with this Observer Policy in UAB Medicine Clinical Facilities. This policy does not apply to students rotating at UAB Medicine clinical facilities pursuant to an Education Affiliation Agreement with the student's educational institution or to persons who are only touring the facilities.

SCOPE: This UAB Medicine interdisciplinary policy applies to persons requesting to observe patient care activities in UAB Hospital and Ambulatory-Clinics.

POLICY STATEMENT: As an academic teaching institution, there are occasions where persons who are not members of the medical staff or other positions may observe clinical operations. It is our belief that all Observers or persons shadowing shall be registered and under direct supervision of the department designee. It is also our belief that establishing and maintaining a therapeutic practice environment will contribute to positive outcomes for patients undergoing surgical or invasive procedures while protecting the patient's rights of privacy, confidentiality and safety.

ASSOCIATED INFORMATION:

- A. **Definitions: Physician Observer:** physicians, who are not members of the medical staff, who come to observe clinical activities at Clinical Facilities and are under their direct supervision of an Active UAB Medical Staff member (Reference 3.7 in the Bylaws, amended October 9, 2014)
- B. **Non-physician Observer:** is an individual of a minimum age of 14 years; persons observing in areas utilizing radiation must be 18 years and older. The individual may be a clinician, researcher, technician, or student who wishes to observe the services and/or operations of a UAB Medicine Clinical Facility.
- C. **UAB Medicine Clinical Facilities:** UAB Hospital, UAB Hospital-Highlands, UAB Hospital-Spain Rehabilitation, UAB Hospital-Center for Psychiatric Medicine, UAB Hospital- Women and Infants Center, The Kirklin Clinic at UAB Hospital, The Kirklin Clinic at Acton Road, UAB Health Centers, HSF operated clinical sites and Callahan Eye Hospital (CEH).
- D. **Observer Liaison** is a person who is responsible for coordinating observers with Employee Health and Sponsors.
- E. **Sponsor** is a UAB Medicine employee or a member of the Active Medical Staff who will assume responsibilities for an Observer.

- F. **Background:** As an academic teaching institution, UAB Medicine is frequently contacted by individuals who wish to experience learning opportunities at our facilities. These learning experiences may include any department, service, or areas in any UAB Medicine Clinical Facility. All individuals visiting UAB Medicine entities for the purpose of observation will be referred to as "Observers".

POLICY:

A. Required Documentation prior to Observing.

1. All Observer Liaisons must call Employee Health at 934-3675 a minimum of two weeks prior to the start of their observership for instructions on required EH testing and documentation. Employee Health will clear employees based on the UAB Hospital and Ambulatory Guidelines for Observers/Interns/International Observers Health Care Screening Guidelines. Employee Health will send a clearance or denial email to the Observer Liaison prior to the proposed start date. In order to obtain clearance, a start and end date must be provided to Employee Health.

B. Request for Approval.

1. All physicians and Clinical Facility staff who desire to sponsor an Observer must submit an advance written request.
2. **Physician Observers**
 - a. Active Medical Staff Members may sponsor Observers.
 - b. A letter of sponsorship shall be submitted to the Chief of the Medical Staff and Credentialing Committee of the Clinical Facility that must specify the name/s, date, approximate time-frame, purpose and scope of activities for which request is being made.
 - c. Sponsors shall be responsible for the Observer's behavior and compliance with the provision of this or any other institutional standards or policies.
 - d. Written confirmation of the presence of Observers shall be sent to the Nurse Manager/Area Supervisor/Department Director a minimum of one working day prior to the planned date of observation.
 - e. The nurse manager, supervisor or department director reserves the right to veto an approval authority decision to grant visitation or viewing privileges if deemed a significant interference to patient care or privacy.
 - f. The approval for the physician Observer shall not be extended to any individual who:
 - i. Has current or prior knowledge of, or relationship to, the patient for which the request is made.
 - ii. Does not meet Observer prerequisites and sponsorship processes.

C. Non Physician Observers:

1. Services, departments, clinics, or administrative areas shall authorize a person to approve all Observers or persons shadowing in their respective areas.
 - a. Each service, department, clinical, or administrative unit shall be responsible for appropriately processing Observers and maintaining records (except the HIPAA Quiz) of each Observer/person shadowing in accordance with Section D.

D. Observer Liaison Responsibilities for Physician and Non-Physician Observers:

1. Review request for Observers for their respective departments.
2. Facilitate the completion of orientation and approval process.
3. Ensure the Observer has completed Observer orientation and all paperwork submitted and approved prior to their Observer experience.
4. Ensure the Observer has been cleared by Employee Health.
5. Ensure the Observation Checklist Form is completed and signed.
6. Ensure the Observer has completed all requirements and is approved for the observation experience.
7. Ensure that each Observer displays either a student or temporary identification card (ID Badge) while on site.
 - a. When temporary badges are used the minimal information required is the:
 - i. UAB Medicine Entity Name
 - ii. Observer
 - iii. Observer's name and
 - iv. Date range for observing or shadowing
 - v. An identification badge must be visible at all times.

Note: If visiting physician, an ID badge from their own facility would be acceptable.
 - b. Upon approval, the Observer Liaison shall notify in writing the area managers, supervisors or directors of the approved dates and times the Observer will be in their respective areas.
8. Maintain all records for the Observer.
9. Ensure the Observer stays no longer than 60 days

E. Sponsor Responsibilities for Physician and Non-Physician Observers:

1. Ensure the Observer has completed all requirements and is approved for the observation experience.
2. Complete the Observer Review of Symptoms Form the first day the Observer is present to Observe.
 - a. Be responsible for the Observer's behavior and compliance with the provision of this or any other institutional standards or policies.
 - b. Failure to cooperate with the clinical facility to oversee the Observer may result in progressive discipline or other appropriate action.
 - c. Escort the Observer to the designated area of observation by the sponsoring service or department.
2. Introduce the Observer when entering a patient's room; the patient or a family member must give verbal consent before the Observer can observe activities.
 - a. When consent is not obtained, the Observer must be escorted from the patient room/area.
 - b. UAB Medicine employees shall reserve the right to ask the Observer to leave a patient care area if at any time it is felt that their presence is interfering with patient care.
3. No Observer shall stay for more than a period of 60 days unless pre-approved by the respective department chair or the department chair designee.
 - a. It is the Sponsor's responsibility to ensure compliance with the 60-day period unless pre-approved by the respective department chair or the department chair designee.

F. Physician and Non-Physician Observer Responsibilities

1. The Observer shall:
 - a. Complete the Observer orientation, sign required forms and submit documents for approval.

- b. Be subject to the Clinical Facilities' policies and procedures, as well as applicable federal, state and local laws that may apply to their activities as appropriate.
 - c. Agree, in writing, to abide by all relevant UAB Medicine standards of conduct and policies and procedures (including this Standard) while they are observing in Clinical Facilities.
 - d. Wear appropriate dress attire (scrubs or business attire; proper footwear—i.e., no open-toed shoes).
2. The Observer shall not:
- a. Perform work that should otherwise be performed by a UAB Medicine employee.
 - b. Provide services that could be considered compensable work.
 - c. Participate in direct patient care or provide consultation/advice related to patient care.
 - d. Use a camera phone or other electronic devices, at any time, in patient care areas, during procedures. Create, exchange, publish or otherwise distribute any patient information in public forums and open communication tools to third parties (for example, via Web e-mail, Instant Messaging, blog postings, chat rooms, Twitter, virtual representatives, etc.).
 - i. Failure to comply is a breach of patient confidentiality and will result in immediate removal of the Observer from the clinical facilities.
- G. Observers may attend conferences and lectures upon approval of the group chair, facilitator, or sponsor of the conference/lecturer.
- H. The Minors in Laboratories Policy (<http://sppublic.ad.uab.edu/policies/content/Pages/UAB-RA-POL-0000105.aspx>) will apply if the Observer will be in laboratories or animal facilities, and should be reviewed by the responsible department.
- I. **Orientation Requirements for Physician and Non-Physician Observers.**
1. The Observer shall be required to complete an orientation based on the length of their observation time at UAB Medicine.

Note: Specific Entity questions should be directed to the respective Human Resources Department
 2. **For less than 5 days:**
 - a. Review the "Observer Orientation Brochure".
 - b. Review and sign:
 - i. Confidentiality Agreement
 - ii. Code of Conduct
 - iii. Observer Checklist Form
 - iv. Assumption of Risk and Hold Harmless Agreement signed by parents if the individual is 19 years of age or younger
 3. Observers for less than 5 days are not required to be cleared by Employee Health as long as they have been living in the United States for the last 12 months.
 - a. Required documents are to be signed and kept by the Observer Liaison or Sponsor.
 - b. The Employee Health "Signs and Symptoms" document should be completed at the beginning of the day on the first day of observership by the Observer Liaison or Sponsor and faxed with any other Employee Health records to Employee Health at 975-6900. These documents are needed so that the observer can be entered into the Observer database.
 4. HIPAA Training: -When an Observer is at an entity for less than 5 days, HIPAA training is not required. The Patient Privacy and Confidentiality for Healthcare Visitors and Observers Brochure is required.

5. **For 5 days or longer:**
 - a. Review the "Observer/Shadowing Orientation Manual",
 - i. Review and sign:
 1. Confidentiality Agreement
 2. Code of Conduct
 3. Observer Checklist Form
 4. Healthcare Visitors and Observer Brochure
 5. Assumption of Risk and Hold Harmless Agreement signed by parents if the individual is 19 years of age or younger
 - b. All Observers must be cleared by Employee Health prior to starting their observership.
 - c. HIPAA Training: The Observer Liaison should contact the HIPAA Privacy Officer to obtain the training when at an entity for 5 days or more. The remaining documentation can be accessed by clicking the links provided (<http://www.hipaa.uab.edu>).
 - d. A copy of the Confidentiality Agreement, Employee Health clearance, Code of Conduct, Observer Checklist Form and Assumption of Risk and Hold Harmless Agreement must be maintained by the department for two years.
 - i. HIPAA Training/quiz must be maintained for six years by the HIPAA Privacy Officer.
- J. **Observer in Perioperative Areas:**
1. The Perioperative Office staff notifies OR nurse manager or designee of visitor readiness to proceed to the designated area.
 2. The OR staff/ charge nurse, or designee, shall confirm appointment and escort the visitor into the OR at the appropriate time.
 3. OR staff shall:
 - a. Verify Written Confirmation that Appointment has been received from the Sponsor.
 - b. Appropriate attire has been donned, and proper identification is visible.
 - c. Monitor Observers presence in the OR and around the sterile field at all times.
 - d. Document names of Observers physically present in the room in the intraoperative nursing record as other attendees.
 4. Observers shall:
 - a. Present sponsorship letter, personal identification (ID), and signed forms to Perioperative Office personnel on day of visit.
 - b. Sign the visitor log.
 - c. Obtain and dress in appropriate attire, follow established traffic patterns, and wear protective personal equipment, as appropriate.
 - d. Be escorted to the designated area of observation by a member of the Operating Room staff.
 5. Upon completion of appointment, Observer will be escorted to the Control Desk to notify charge personnel of planned departure and shall be escorted back to the Perioperative Office to sign out.
 6. Patient care providers reserve the right to ask an Observer to leave the room if at any time during the procedure it is felt that the Observer's presence is interfering with performance of patient care responsibilities.
 7. Access of Observers shall be confined to the surgical suite or assigned area for which the observation is planned.
- Failure to comply with this policy may result in immediate removal from the Facility and restrictions on any future requests to observe in UAB Medicine Facilities

A: Observer Checklist Form

Note: The following Individual Forms can be found on the SCR Website.

- Confidentiality Agreement,
- Code of Conduct,
- Assumption of Risk and Hold Harmless Agreement,
- Patient Privacy and Confidentiality for Healthcare Visitors and Observers Brochure

Attachment B: Observer Checklist Form (This Form can be found on the SCR under Forms)

REFERENCES: None			
CMS:	§482.13 TAG: A-0115	TJCH:	NA
CAMH:	HR.01.04.01; IC.01.01.01; RI.01.01.01; RI.02.01.01		
Cross-References (CR):			
*Minors in the Workplace *Minors in Laboratories and Animal Facilities (CR) *Social Media (CR) *Confidentiality of Information (CR)	*Medical & Dental Staff Bylaws for UAB Health System Clinical Facilities (CR) *Cell Phones, Walkie-Talkies, and Wireless System, Uses (CR) *Information System Account and Password Management (CR) *Patient Visitation (CR) *Enterprise Code of Conduct	*Visitor Permission Guidelines for the Operating Room (CR) *Consent to Photograph or Record (CR) *Professional Code of Conduct and Appearance *Observer Orientation (5 days and greater) Manual (CR) *Observer Orientation (less than 5 days) Brochure (CR) *Volunteer Placement (CR)	

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INTERDISCIPLINARY COLLABORATION

Bernard C. Camins, MD, Chair, Infection Control/Prevention Committee	05/17/16
Physician / Medical Committees	Endorsement Date
Terri Poe, CNO	05/19/16
Committees / Councils	Endorsement Date
N/A	
Department(s)	Endorsement Date

Tracking Record

Supersedes:	Observer / Shadowing Policy, 5/7/12 Physician Observer Guidelines for the Medical & Dental Staff MS# 25
File Name:	Observer Policy I#810r
REVISIONS:	Consistent with Joint commission Standards, this policy is to be reviewed at least every 3 years and/or as practice changes.

