Texas Institute for Graduate Medical Education and Research

Policy and Procedure Manual

06-20-2018
# Table of Contents

- Responsibilities of the Designated Institutional Official (DIO) ........................................ 4
- Continuity of GME Oversight ................................................................................................. 6
- GMEC Oversight and Required Policies ............................................................................ 7
- GMEC Conflict of Interest Policy ....................................................................................... 9
- Training Program Reduction/Closure OR Sponsoring Institution Closure Policy ............ 11
- Disaster Planning Policy ......................................................................................................... 13
- Supervision Policy ................................................................................................................ 18
- Discipline, Dismissal, Non-Renewal Policy & Procedure .................................................. 20
- Grievance and Appeals Policy .............................................................................................. 24
- Duty Hours Policy .................................................................................................................. 27
- Harassment Policy .................................................................................................................. 31
- Resident/Fellow Agreement Policy ....................................................................................... 33
- Resident/Fellow Renewal and Promotion Policy ................................................................. 35
- Resident/Fellow Qualification Policy .................................................................................... 37
- Resident/Fellow Recruitment and Selection Policy ............................................................ 39
- Restrictive Covenant Policy .................................................................................................. 41
- Transitions of Care/Handoffs Policy ..................................................................................... 42
- Vendor/Conflict of Interest Policy ......................................................................................... 45
- Compensation and Benefits Policy ....................................................................................... 47
- Learner Disability Assessment and PsychoEd Evaluation Policy ......................................... 49
- Physician Impairment and Substance Abuse Policy ............................................................ 51
- Disability Accommodations Policy ....................................................................................... 53
- Professional Liability Insurance Policy .................................................................................. 54
- Counseling and Support Services Policy ............................................................................. 56
- Holiday Leave Policy and Procedure .................................................................................... 58
- Bereavement Leave Policy and Procedure ........................................................................... 60
- Medical Leave Policy and Procedure .................................................................................... 62
- Family Medical Leave Act Policy ......................................................................................... 64
- Military Leave Policy and Procedure .................................................................................... 66
- Vacation and Sick Leave Policy and Procedure ..................................................................... 68
- Moonlighting Policy ............................................................................................................... 70
Medical Board Mandatory Reporting Policy ................................................................. 72
Resident and Fellow Forum Policy ............................................................................... 74
Quality Improvement/Patient Safety Policy ................................................................. 76
Professionalism – Code of Conduct ............................................................................ 78
Dress Code Policy ....................................................................................................... 81
GME Forms .................................................................................................................. 83
  Conflict of Interest Signature Form ............................................................................ 84
  Clinical Competency Committee Protocol and Requirements ................................. 85
  Program Evaluation Committee Protocol and Requirements ....................................... 86
Annual Institutional Review Policy ............................................................................... 87
GME Special Review ................................................................................................... 89
TIGMER Policy Manual Revision History ..................................................................... 92
Responsibilities of the Designated Institutional Official (DIO)

<table>
<thead>
<tr>
<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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<td>Next Review Date:</td>
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<td>Origination Date: February 2016</td>
<td>ACGME Common Program Requirement #:</td>
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POLICY STATEMENT

The ACGME requires that institutions sponsoring GME programs be led by a Designated Institutional Official (DIO), who, in collaboration with a Graduate Medical Education Committee (GMEC), must have authority and responsibility for the oversight and administration of the Sponsoring Institution’s GME programs, as well as responsibility for assuring compliance with ACGME Requirements (Institutional, Common, and specialty/subspecialty-specific Program Requirements).

Responsibilities of the DIO include all of the following:

Participation in the Institutional governance of GME programs

- Maintain current knowledge of and compliance with TIGMER GME Policies
- Maintain current knowledge of and compliance with ACGME Institutional and Program Requirements - [www.acgme.org](http://www.acgme.org)
- Participate as a voting member in GMEC
- Cooperate promptly with requests by the various regulatory bodies for information, documentation, etc.
- Maintain accurate and complete institutional GME files in compliance with ACGME and with institutional records retention policies
- Lead institutional involvement with NRMP and other Matches, ERAS, Texas Medical Board, the Texas Osteopathic Medical Association, and other entities
- Ensure sufficient financial support and protected time to effectively carry out educational, administrative, and leadership responsibilities, both by the DIO and the GME Office
- Engage in professional development applicable to responsibilities as an educator

Educational Aspects of the Sponsoring Institution

- Ensure that programs provide an educational curriculum as defined in the ACGME Program Requirements for the specialty
- Assist programs’ appropriate use of milestones to assess residents’ competence in areas as defined in the ACGME Program Requirements for the specialty
- Participate in professional development programs for program directors and teaching faculty

ACGME accreditation matters

- Maintain current knowledge of and compliance with the ACGME Requirements at all levels
- Oversee and certify annual update of ACGME’s Accreditation Data System (ADS) Prepare accurate and complete institutional documentation for self-study site visits
- The DIO must serve as a voting member of the GMEC.
• The DIO and the GMEC must monitor the responses by the programs to actions recommended by the GMEC.
The DIO will ensure that s/he, or a designee in the absence of the DIO, reviews and cosigns all program
information forms and any documents or correspondence submitted to the ACGME by program directors.
• The DIO and/or the Chair of the GMEC is required to present an annual report to the governing body(s) of the
Sponsoring Institution, and to other bodies as directed by ACGME.
• Maintain effective communication with appropriate personnel of other institutions participating in the residency
training.

**REASON FOR POLICY**

**PROCEDURES**

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**

**ADDITIONAL CONTACTS**

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**DEFINITIONS**

**RELATED INFORMATION**

**HISTORY**

<Return to Cover Page>
Continuity of GME Oversight

Effective Date: February 2016  Policy Owner: Graduate Medical Education Administration
Last Review Date: December 2016  Policy Contact:
Next Review Date:  ACGME Institutional Requirement #:
Origination Date: February 2016  ACGME Common Program Requirement #:

POLICY STATEMENT

In the event that the DIO is not available to provide oversight, represent the GME programs, sign documentation related to accreditation, or other functions, the role will be filled by the UIWSOM Director for Graduate Medical Education. In the absence of both the UIWSOM Associate Dean for Graduate Medical Education and the UIWSOM Director for Graduate Medical Education, a member of the GME Executive Committee may be designated to fill the role.

REASON FOR POLICY

In the absence of the DIO, a process is necessary to ensure appropriate continuity of management of institutional GME endeavors and oversight of GME programs.

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
GMEC Oversight and Required Policies

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**POLICY STATEMENT**

It is the policy of the GMEC to maintain oversight of training programs by assuring that the GMEC reviews and approves at least the following issues before programs correspond with their RRCs.

- All applications for ACGME accreditation of new programs and subspecialties,
- Changes in resident complement,
- Major changes in program structure or length of training,
- Additions and deletions of participating sites,
- Appointments of new program directors,
- Progress reports requested by any Review Committee,
- Responses to all proposed adverse actions,
- Requests for exceptions of resident duty hours,
- Requests to inactivate or to reactivate a training program,
- Voluntary withdrawals of ACGME-accredited programs,
- Requests for an appeal of an adverse actions, and
- Appeal presentations to a Board of Appeal or the ACGME.

It is the policy of the GMEC to maintain oversight of training programs by assuring that programs include at least the following policies for review by residents and faculty members. Programs are permitted to develop additional policies with approval of the GMEC that might aid in education or further explain processes to the residents.

- Recruitment and selection,
- Promotion or, for a single year program - a completion policy,
- Grievance and due process,
- Warning, probation and dismissal,
- Graded responsibility and supervisory lines of responsibility for patient care,
- Moonlighting,
- Duty hours including education and monitoring.

**REASON FOR POLICY**

**PROCEDURES**

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**
FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
GMEC Conflict of Interest Policy

1. TIGMER members must disclose the existence of any actual or possible conflict of interest and be given the opportunity to disclose all material facts to the disinterested members of TIGMER.

2. A disinterested member of TIGMER may bring to the attention of the consortium a possible conflict of interest situation involving another member of TIGMER.

3. A TIGMER member unilaterally may determine that he or she has an actual or possible conflict of interest and voluntarily recuse him or herself from the evaluation, deliberation or action of TIGMER in question at any time. In the event that a TIGMER member recuses him or herself, TIGMER need not make a formal determination with regard to the existence of a possible or actual conflict of interest.

4. If, after disclosure of facts or circumstances that suggest an actual or possible conflict of interest, the TIGMER member does not recuse him or herself, and after any discussion with the interested party, he or she shall leave the TIGMER meeting while the determination of an actual or possible conflict of interest is discussed and voted upon by the disinterested TIGMER members.

5. In the event a TIGMER member recuses him or herself or he or she is deemed to have an actual or possible conflict of interest by a vote of the disinterested members of TIGMER, he or she shall leave the meeting during the discussion of, and the vote on, the matter involving the actual or possible conflict of interest.

6. If TIGMER has reasonable cause to believe a Board of Trustees member has failed to disclose an actual or possible conflict of interest and he or she has failed to recuse him or herself, it shall inform the individual of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose.

7. Each member of TIGMER annually shall sign a statement that affirms the following: (1) The individual has received a copy of the Conflict of Interest Policy; (2) The individual has read and understands the policy; and (3) The individual has agreed to comply with the spirit and intent of the policy.

REASON FOR POLICY

PROCEDURES
FORMS/INSTRUCTIONS

Conflict of Interest Signature Form

By affixing my signature below, I hereby acknowledge and affirm:

1. I have received a copy of the Texas Institute of graduate Medical Education and Research (TIGMER) Conflict of Interest Policy.

2. I have read and understand the Conflict of Interest Policy.

3. I agree to comply with the spirit and intent of the Conflict of Interest Policy.

Signature_____________________________________________________

Name_________________________________________________________

Date__________________________________________________________

<Return to Cover Page>
Training Program Reduction/Closure OR Sponsoring Institution Closure Policy

Effective Date: February 2016  Policy Owner: Graduate Medical Education Administration
Last Review Date: December 2016  Policy Contact:
Next Review Date:  ACGME Institutional Requirement #: IV.N., IV.N.1, IV.N.2
Origination Date: February 2016  ACGME Common Program Requirement #:

POLICY STATEMENT
The TIGMER is committed to providing a high quality educational experience for all residents/fellows (trainees) enrolled in ACGME accredited and non-ACGME accredited graduate medical education training programs.

In the event of program closure or to reduce the trainee complement, whether by ACGME, departmental, or institution necessity, the program director must notify the Designated Institutional Official (DIO) and the program’s trainees immediately. Please see responsibilities outlined below.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

Program Responsibilities

- Program closure or reduction due to ACGME adverse action
  - Program director must notify the DIO and trainees as soon as notification is received. Trainees must be made aware of how the reduction in complement will affect their training.
  - Program director will work closely with the office of the DIO to make every effort within budgetary constraints to allow existing trainees to complete their education or provide assistance in transferring the trainee to another program.
- Reduction in trainee complement
  - Program director should discuss the impact of the reduction with the current trainees.
  - Program director must submit a request through ACGME WebADS.
  - Request is reviewed and voted upon by the Graduate Medical Education Committee (GMEC).

Sponsoring Institution/DIO Responsibilities

- Program closure or reduction due to ACGME adverse action
  - DIO will present the request to the GMEC.
  - DIO will work collaboratively with the program director as outlined above.
- Reduction in trainee complement
DIO will bring request to the GMEC for review and action.
GME Administration will approve the change in WebADS.

Major participating site closure or reduction
GME Administration will work with program and other major participating sites and participating institutions to redistribute the affected trainee population.

Sponsoring Institution closure or reduction
The TIGMER Board of Directors must notify the DIO within 30 days of the decision to close or reduce programs.
DIO will notify programs and trainees as soon as possible.
The Sponsoring Institution will make every effort within budgetary constraints to allow existing trainees to complete their education or provide assistance in transferring the trainees to another program.

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

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Disaster Planning Policy

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<td>Policy Contact: Marsha Sellner</td>
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<td>Next Review Date:</td>
<td>ACGME Institutional Requirement #:</td>
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<td>Origination Date: February 2016</td>
<td>ACGME Common Program Requirement #:</td>
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**POLICY STATEMENT**

This policy applies to all GME training programs sponsored by TIGMER.

Following declaration of a disaster, the Designated Institutional Official (DIO), Graduate Medical Education Committee (GMEC) and other sponsoring institution leadership will strive to restructure or reconstitute the educational experience as quickly as possible following the disaster.

In order to maximize the likelihood that trainees will be able to complete program requirements within the standard time required for certification in that specialty, steps will be taken to transfer the affected trainees to other local sites. If leadership determines that the sponsoring institution can no longer provide adequate educational experience for its trainees, the sponsoring institution will, to the best of their ability, arrange for temporary transfer of trainees to programs at other sponsoring institutions until such time as the sponsoring institution is able to resume providing the educational experience.

The Program Director will then give the trainees, who temporarily transfer to other programs as a result of a disaster, an estimated time that relocation to another program will be necessary. Should that initial time need to be extended, the trainees will be notified by their Program Director using written or electronic means identifying the estimated time of the extension.

If the disaster prevents the sponsoring institution from re-establishing an adequate educational experience within a reasonable amount of time following the disaster, then permanent transfers will be arranged.

The TIGMER DIO will be the primary institutional contact with the ACGME and the Institutional Review Committee Executive Director regarding disaster plan implementation and needs within the sponsoring institution.

**REASON FOR POLICY**

This Disaster Planning Policy and Procedures is intended to augment existing plans that are applicable to the institutions affected.

It is intended to protect the well-being, safety and educational experiences of the residents/fellows, hereby referred to as trainees, enrolled in TIGMER GME training programs.

It provides guidelines for communication with trainees and program leadership to assist in reconstituting or restructuring the trainee’s educational experiences as quickly as possible after the disaster, or determining need for transfer or closure in the event of being unable to reconstitute normal program activity.
It provides general information and procedures to support TIGMER GME training programs and trainees in the event of a disaster or interruption in their educational experience.

PROCEDURES

1. Upon the occurrence of the disaster and immediately following- up to 72 hours:
   Immediate email communication is to all parties and details the future communication plan.

   **Associate Dean/DIO (GME Administration)**
   The DIO is the primary institutional contact with the ACGME and Institutional Review Committee Executive Director regarding disaster plan implementation and needs within the sponsoring institution. The DIO consults with hospital leadership as needed and may decide to convene a planning meeting to work through important details in managing the situation.

   The immediate email communication to all parties will go out through Graduate Medical Education Administration, hereby referred to as GME Administration.

   If email communication is not possible, then GME Administration will contact the core residency Program Directors by phone or pager. Fellowship Directors should contact the Program Directors of their core residency program with fellowships to determine next steps.

   **Program Director**
   First point of contact. They are responsible for getting communications out to their trainees and if necessary to their fellowship directors. Program Directors must update their email list- serves and list of phone and pager numbers on an annual basis. Programs and/or departments must insure that this data is kept in a separate geographic location.

   **Residents/Fellows (Trainees)**
   Initially they are expected to report to their originally assigned hospital/clinic location. In the event the hospital/clinic is affected by the disaster and unable to operate in the usual fashion or if the patient load is skewed by the disaster, some or all of the trainees may need to be reassigned by the DIO after discussion with the Program Director and approval of the DIO with the hospital officials.

2. Institutional Assessment and Decision-making on Program and Institution Status and Resident Transfer - 3-30 days following disaster

   **Communications going forward**

   **Associate Dean/DIO (GME Administration)**
   The DIO will communicate (call or email) with ACGME regarding the impact of the disaster.

   Within ten days after the declaration of a disaster by the ACGME, the DIO (or another institutionally designated person, if the institution determines that the DIO is unavailable), will:
   - Contact the ACGME to discuss due dates that ACGME will establish for the programs:
     - To submit program reconfigurations to ACGME and
     - To inform each program’s trainees of transfer decisions.

   The due dates for submission shall be no later than 30 days after the disaster unless other due dates are approved by ACGME.
The DIO will monitor progress of both healthcare delivery and functional status of GME training programs for their educational mission during and following a disaster. They (or their designees) will work with the ACGME to determine the appropriate timing and action of the options for disaster impacted institution and/or programs:

1. Maintain functionality and integrity of program(s),
2. Temporary resident transfers until program(s) reinstated, or
3. Permanent resident transfer, as necessitated by program or institution closure.

Information and decision communications will be maintained with Program Directors and trainees, as appropriate to circumstances of the individual disaster event.

**Program Director**
The Program Director(s) will communicate (call or email) with their appropriate Review Committee(s) (RRC) regarding the impact of the disaster. The ACGME website provides instructions for changing resident email information in the ACGME Web Accreditation Data System.

**Residents/Fellows (Trainees)**
The trainees should call or email the appropriate Review Committee Executive Director with information and/or requests for information. On its website, ACGME will provide instructions for changing resident email information on the ACGME Web Accreditation Data System.

**ACGME**
If within the **ten days** the ACGME has not received communication from the DIO or designee, the ACGME will attempt to establish contact with the DIO(s) to determine the severity of the disaster, its impact on training, and next steps.

ACGME will establish a fast track process for reviewing (and approving or not approving) submissions by programs relating to program changes to address disaster effects, including, without limitation, (a) the addition or deletion of a participating institution, (b) change in the format of the educational program, and (c) change in the approved resident complement.

Once information concerning a disaster-affected program’s condition is received, ACGME may determine that one or more site visits is required. Prior to the visits, the DIO will receive notification of the information that will be required. This information, as well as information received by the ACGME during these site visits, may be used for accreditation purposes. Site visits that were scheduled prior to a disaster may be postponed.

New ACGME policy will supersede these current policies as they become enacted.

**Residents/Fellows (Trainees) Transfer**
Institutions offering to accept temporary or permanent transfers from programs affected by a disaster must complete a form found on the ACGME website. Upon request, ACGME will give information from the form to affected programs and trainees, and post the information on its website, upon authorization.

At the outset of a temporary transfer, a program must inform each transferred trainee of the minimum duration and the estimated actual duration of his/her temporary transfer, and continue to keep each trainee informed of such durations. If and when a program decides that a temporary transfer will continue to and/or through the end of a residency year, it will so inform each transferred resident.

3. **When the Disaster has Ended:**
   - Plans will be made with the participating institutions to which trainees have been transferred for them to resume training at TIGMER institutions.
• Appropriate credit for training will be coordinated with the ACGME and the applicable Residency Review Committees and
• Decisions as to other matters related to the impact of the disaster on training will be made.

Finance
During and/or immediately following a disaster, TIGMER will make every effort to insure that the trainees continue to receive their salary and fringe benefits during any disaster event recovery period, and/or accumulate salary and benefits until such time as utility restoration allows for fund transfer.

Longer term funding will be determined on the basis of the expected operations of the teaching sites, CMS and governmental regulations and the damage to the infrastructure of the finance and hospital operations.

Administrative Information and Redundancy and Recovery
Trainee’s demographic documentation stored in TIGMER on-line GME management system (New Innovations). Full backups are done weekly by the vendor.

Data and documents stored in the Residency Management Suite (RMS) by New Innovations are stored on two IIS servers and two SQL servers at each data center in separate cities. Data from each server is copied to the other server every hour. The servers also have full backups run every night and the backups are located on a backup sub-system own and operated by another company.

The TIGMER servers also have a detailed back-up and recovery system in place. Programs are responsible for establishing procedures to protect the academic and personnel files of all residents from loss or destruction by disaster. This should include at least a plan for storage of data in a separate geographic location away from the sponsoring institution or in a cloud based filed which can be accessed off-site.

Legal and Medical-Legal Aspects of Disaster Response Activity
Residents/fellows serving under the direction of their program in disaster response efforts will be covered by their employer’s liability insurance company. Residents/fellows who act as emergency responders under an executive order issued by the governor of Texas are immune from damages for their good faith acts/omissions in rendering emergency care, advice or assistance under emergency plans.

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS

A disaster is defined herein as an event or set of events causing significant alteration to the trainees’ experience of a TIGMER GME training program.

This policy and procedure document acknowledges that there are multiple types of disaster including but not limited to acute disaster with little or no warning (e.g. tornado, bombing), and the insidious disruption or disaster (e.g. pandemic event). This policy and procedure will address disaster and disruption in the broadest terms.

RELATED INFORMATION

ACGME Disaster Policy; AMA Guidelines; CMS Guidelines

CMS Funding: http://www.cms.hhs.gov/AcuteInpatientPPS/Downloads/Katrina_Fact_Sheet.pdf

ACGME policies and procedures:

ACGME Plan to Address Disaster Significantly Altering the Residency Experience at One or More Residency Program (Section G, page 82)
http://www.acgme.org/acWebsite/about/ab_ACGMEPoliciesProcedures.pdf

HISTORY

<Return to Cover Page>
Supervision Policy

Effective Date: February 2016
Policy Owner: Graduate Medical Education Administration

Last Review Date: April 2018
Policy Contact:

Next Review Date:
ACGME Institutional Requirement #:

Origination Date: February 2016
ACGME Common Program Requirement #:

POLICY STATEMENT
There must be sufficient institutional oversight to assure that trainees are appropriately supervised. Appropriate supervision means that a trainee is supervised by the teaching faculty in such a way that the trainees assume progressively increasing responsibility according to their level of education, proven ability, and experience. On-call schedules for teaching faculty must be structured to ensure that supervision is readily available to trainees on duty. The level of responsibility accorded to each trainee must be determined by the program director and the teaching faculty.

REASON FOR POLICY
To ensure that the TIGMER GME programs provide appropriate supervision for all trainees that is consistent with proper patient care, the educational needs of trainees, and the applicable ACGME Review Committee (RC) and Common Program Requirements.

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

PROGRAM RESPONSIBILITY
It is the responsibility of individual program directors to establish detailed written policies describing trainee supervision at each level for their residency/fellowship programs. The policies must be maintained in the Program Manual.

The requirements for on-site supervision will be established by the program director for each residency/fellowship in accordance with ACGME guidelines and should be monitored through periodic department reviews, with institutional oversight through the GMEC internal review process.

Programs should establish policies that support Effective Supervisor Behaviors, see related information.

Set clear expectations
• When to call
• Situations in which trainees should always call
• How to call – provide accurate pager/phone numbers
• Trainees role in the care of the patient

Create a safe learning environment
• Reassure the trainee that is always appropriate to call if uncertain
• Recognize and address uncertainty in the trainee

Be readily available
  • Answer pages and phone calls promptly
  • Planned communication (schedule times for calls)

Balance supervision with trainee autonomy. Provide input but don’t take over the case

Be respectful
  • Be patient with the trainee regardless of time of day
  • Don’t yell at or belittle a trainee

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DEFINITIONS
• Direct – the supervising physician is physically present with the trainee and patient
• Indirect
  o With supervision immediately available the supervising physician is physically within the hospital or other site of patient care and is immediately available to provide direct supervision
  o With direct supervision available the supervising physician is not physically present within the hospital or other site of patient care, but is immediately available by phone and/or other electronic modalities and is available to provide direct supervision
• Oversight – the supervising physician is available to provide review of procedures/encounters with feedback provided after the care is delivered

RELATED INFORMATION
EFFECTIVE SUPERVISEE (TRAINEE) BEHAVIORS
• Trainee may request the physical presence of an attending at any time and is never to be refused
• Know and follow your programs policies for when you must always contact supervisor
• If you are uncertain…call your supervisor
• If a patient has a change in status…call your supervisor
• Present data to supervisor accurately. If you omitted part of the exam let them know
• Provide feedback to supervisor regarding what was helpful

HISTORY

<Return to Cover Page>
Discipline, Dismissal, Non-Renewal Policy & Procedure

**Effective Date:** February 2016  
**Policy Owner:** Graduate Medical Education Administration

**Last Review Date:** December 2016  
**Policy Contact:** Marsha Sellner

**Next Review Date:**  
**Origination Date:** February 2016  
**ACGME Institutional Requirement #:**

**ACGME Common Program Requirement #:**

**POLICY STATEMENT**
Trainees can be disciplined for both academic and non-academic reasons. Forms of discipline include, but are not limited to: warning, required compliance, remedial work, probation, suspension, contract non-renewal and dismissal. There are separate grounds and procedures for each type of discipline as outlined below.

**REASON FOR POLICY**

**Discipline/Dismissal for Academic Reasons**

**Grounds**
As students, GME trainees are required to maintain satisfactory academic performance. Academic performance that is below satisfactory is grounds for discipline and/or dismissal. Below satisfactory academic performance is defined as a failed rotation; relevant exam scores below program requirements; and/or marginal or unsatisfactory performance, as evidenced by faculty evaluations and other assessments, in the areas of clinical diagnosis and judgment, medical knowledge, technical abilities, interpretation of data, patient management, communication skills, interactions with patients and other healthcare professionals, professionalism, and/or motivation and initiative.

To maintain satisfactory academic performance, residents/fellows also must meet all eligibility requirements throughout the training program. Failure or inability to satisfy licensure, registration, fitness/availability for work, visa, immunization, or other program-specific eligibility requirements are grounds for dismissal or contract non-renewal.

**PROCEDURES**

**Procedures**
Before dismissing a trainee or not renewing the contract of a trainee for academic reasons, the program must give the trainee:

- Notice of performance deficiencies;
- An opportunity to remedy the deficiencies; and
- Notice of the possibility of dismissal or non-renewal if the deficiencies are not corrected.

Trainees disciplined and/or dismissed for academic reasons may be able to grieve the action through the Grievance & Appeal Policy. This grievance process is not intended as a substitute for the academic judgments of the faculty who have evaluated the performance of the trainee, but rather is based on a claimed violation of a rule, policy or established practice of the University or its programs.

**Academic Probation**
Trainees who demonstrate a pattern of unsatisfactory or marginal academic performance will undergo a probationary period. The purpose of probation is to give the residents/fellows specific notice of performance deficiencies and an opportunity to correct those deficiencies. The length of the probationary period may vary but it must be specified at the outset and be of sufficient duration to give the trainee a meaningful opportunity to remedy the identified performance problems. Depending on the trainee’s performance during probation, the possible outcomes of the probationary period are: removal from probation with a return to good academic standing; continued probation with new or remaining deficiencies cited; non-promotion to the next training level with further probationary training required; contract non-renewal; or dismissal.

**Discipline/Dismissal for Non-Academic Reasons**

**Grounds**

Grounds for discipline and/or dismissal of a trainee for non-academic reasons include, but are not limited to, the following:

- Failure to comply with the bylaws, policies, rules, or regulations of the University, affiliated hospital, medical staff, department, or with the terms and conditions of this document.
- Commission by the trainee of an offense under federal, state, or local laws or ordinances which impacts upon the abilities of the trainee to appropriately perform his/her normal duties in the residency program.
- Conduct, which violates professional and/or ethical standards; disrupts the operations of the University, its departments, or affiliated hospitals; or disregards the rights or welfare of patients, visitors, students, hospital/clinical staff, or others involved in the training program.

**Procedures**

Prior to the imposition of any discipline for non-academic reasons, including, but not limited to, written warnings, probation, suspension, or termination from the program, a trainee shall be afforded:

- Clear and actual notice by the appropriate University or hospital representative of charges that may result in discipline, including where appropriate, the identification of persons who have made allegations against the trainee and the specific nature of the allegations; and,
- An opportunity for the trainee to appear in person to respond to the allegations.
- Following the appearance by the trainee, a determination should be made as to whether reasonable grounds exist to validate the proposed discipline. The determination as to whether discipline would be imposed will be made by the respective Medical School department head or his or her designee. A written statement of the discipline and the reasons for imposition, including specific charges, witnesses, and applicable evidence shall be presented to the trainee.

After the imposition of any discipline for non-academic reasons, a trainee may avail himself or herself of the following procedure:

- If within thirty (30) calendar days following the effective date of the discipline, the trainee requests in writing to the DIO a hearing to challenge the discipline, a prompt hearing shall be scheduled. If the trainee fails to request a hearing within the thirty (30) day time period, his/her rights pursuant to this procedure shall be deemed to be waived.
- The hearing panel shall be comprised of three persons not from the residency/fellowship program involved: a chief resident; a designee of the Dean of the University of the Incarnate Word School of Osteopathic Medicine; and an individual recommended by the Chair of the Graduate Medical Education Committee.
- The panel will be named by the Dean of the School of Osteopathic Medicine or his or her designee and will elect its own chair. The hearing panel shall have the right to adopt, reject or modify the discipline that has been imposed.

At the hearing, a trainee shall have the following rights:
• Right to have an advisor appear at the hearing. The advisor may be a faculty member, trainee, attorney, or any other person. The trainee must identify his or her advisor at least five (5) days prior to the hearing;
• Right to hear all adverse evidence, present his/her defense, present written evidence, call and cross-examine witnesses; and,
• Right to examine the individual’s residency/fellowship files prior to or at the hearing.
• The proceedings of the hearing shall be recorded.
• After the hearing, the panel members shall reach a decision by a simple majority vote based on the record at the hearing.
• The residency/fellowship program must establish the appropriateness of the discipline by a preponderance of the evidence.
• The panel shall notify the trainee in writing of its decision and provide the trainee with a statement of the reasons for the decision.

Although the discipline will be implemented on the effective date, the stipend of the trainee shall be continued until his or her thirty (30) day period of appeal expires, the hearing panel issues its written decision, or the termination date of the agreement, whichever occurs first.

The decision of the panel in these matters is final, and there are no further rights to appeal.

Any TIGMER clinical training site has the right to impose immediate summary suspension upon a trainee if his or her alleged conduct is reasonably likely to threaten the safety or welfare of patients, visitors or hospital/clinical staff. In those cases, the trainee may avail he or she of the hearing procedures described above. The foregoing procedures shall constitute the sole and exclusive remedy by which a trainee may challenge the imposition of discipline based on non-academic reasons.

Non-renewal of Agreement of Appointment
In instances where a trainee(s) agreement is not going to be renewed, TIGMER ensures that its ACGME accredited programs provide the trainee(s) with a written notice of intent not to renew a trainee(s) agreement no later than four months prior to the end of the trainee(s) current agreement. However, if the primary reason(s) for the non-renewal occurs within the four months prior to the end of the agreement, TIGMER ensures that its ACGME-accredited programs provide the trainee(s) with as much written notice of the intent not to renew as the circumstances will reasonably allow, prior to the end of the agreement.

Trainee(s) will be allowed to implement the institution’s grievance procedures if they have received a written notice of intent not to renew their agreement.

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Grievance and Appeals Policy

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<tr>
<td>Origination Date: February 2016</td>
<td>ACGME Common Program Requirement #:</td>
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POLICY STATEMENT

The Graduate Medical Education Committee (GMEC) serves as the appeals body for all residents in programs sponsored by TIGMER, independent of their funding source, for dismissal or nonrenewal, or other actions that could significantly threaten a resident's intended career development, including non-promotion to a subsequent PGY level.

Dismissal or non-renewal or non-promotion to a subsequent PGY level could occur because of failure to comply with the resident’s responsibilities, failure to demonstrate appropriate medical knowledge or skill as determined by the program's supervising faculty, or failure to abide by the terms of the resident's contract of employment. This appeals mechanism is open to a resident who has suffered an adverse action including dismissal during an academic year or non-renewal of contract for the following academic year in a categorical program in which there has been no explicit information provided to the resident that advancement was based on a pyramidal system, as well as nonpromotion to a subsequent PGY level.

Academic failure – Residents are learners within our programs. When a resident fails to progress academically, it is the responsibility of the program director to document a warning period prior to instituting probationary status, dismissal, failure to reappoint, or failure to promote to the subsequent PGY level; to demonstrate efforts for the provision of opportunities for remediation; and to notify the DIO of the proposed action(s). It should be very unusual to dismiss a resident for academic failure without a probationary period. Opportunities should be provided (and documented) for the resident to discuss with the program leadership the basis for probation, the expectations of the probationary period and the evaluation of the resident's performance during the probation.

Misconduct – In addition to their academic responsibilities, residents have clinical responsibilities within our programs. Dismissal without warning may be justified in response to specific examples of misconduct. Examples include (but are not limited to) the following: lying; falsification of a medical record; violation of medical record privacy; being under the influence of intoxicants or drugs; disorderly conduct, harassment of other employees (including sexual harassment), or the use of abusive language on the premises; fighting, encouraging a fight, or threatening, attempting, or causing injury to another person on the premises.

Informal procedure – Residents who are concerned about actions within their programs that could significantly threaten their intended career development are encouraged to contact the DIO regarding their concerns. The DIO will work with the resident and the program as the particular situation requires.

Formal grievance procedure - In the event that a resident is to be placed on probationary status, dismissed, his/her training agreement not renewed, or not promoted to a subsequent PGY level, he/she may initiate a formal grievance procedure. The resident shall present the grievance in writing to the DIO within thirty (30) working days after the date of notification of proposed adverse status. The grievance shall state the facts upon which the grievance is based and requested remedy sought. The DIO or designate shall respond to the grievance with
written answer no later than fifteen (15) working days after he/she received it. If the resident is not satisfied with
the response, he/she may then
submit, within fifteen (15) working days of receipt of the DIO’s response, a written request for a hearing.

**Hearing** - The hearing procedure will be coordinated by the DIO or designate, who will preside at the hearing, but
will not be a voting participant. The hearing will be scheduled within thirty (30) working days of the resident's
request for a hearing. The hearing panel will consist of at least three (3) members of the GMEC. The DIO will
determine the time and site of the hearing in consultation with the resident and program leadership. The resident
shall have a right to self-obtained legal counsel at his/her own expense; however retained counsel may not
actively participate or speak before the hearing participants, nor perform cross-examination.

The format of the hearing will include a presentation by a departmental representative; an opportunity for a
presentation of equal length by the house officer; an opportunity for response by the representative, followed by a
response of equal length by the house officer. This will be followed by a period of questioning by the hearing
panel. The ADGME in consultation with the departmental representatives and the resident will determine the
duration of the presentations and the potential attendees at the hearing.

The resident will have a right to request documents for presentation at the hearing and the participation of
witnesses. The DIO at his/her discretion will invite the latter, following consultation with the hearing
panel. A final decision will be made by a majority vote of the hearing panel and will be communicated to the
resident within ten (10) working days after the hearing. This process will represent the final appeal within
TIGMER and its affiliated hospitals.

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**REASON FOR POLICY**
The Accreditation Council for Graduate Medical Education (ACGME) requires that sponsoring institutions provide
fair and reasonable written institutional policies and procedures for grievance and due process, which may be
utilized when academic or other disciplinary actions taken against residents could result in dismissal, non-
renewal of a resident’s agreement or other actions that could significantly threaten a resident’s intended career
development, including non-promotion to a subsequent PGY level.

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**PROCEDURES**

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**FORMS/INSTRUCTIONS**

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**RESPONSIBILITIES**

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**FAQ**

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**ADDITIONAL CONTACTS**

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**DEFINITIONS**

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RELATED INFORMATION

HISTORY

<Return to Cover Page>
Duty Hours Policy

<table>
<thead>
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<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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<td>ACGME Common Program Requirement #:</td>
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POLICY STATEMENT
All programs are required to adhere to and monitor compliance of their trainees with the ACGME duty hour standards as outlined in the revised ACGME Common Program Requirements. Programs must also follow the program-specific guidelines as outlined by their individual Review Committees (RCs). The sponsoring institution monitors program’s adherence to the duty hour requirements through regular review of duty hour violations in RMS, the Internal Review process as well as annual review of program manuals to ensure the proper policies are in place.

REASON FOR POLICY
To outline the revised ACGME duty hour requirements and the responsibilities of the trainees, the programs and the sponsoring institution.

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES
Program Responsibilities:

Supervision
Programs must ensure that appropriate levels of supervision are provided to each trainee based on their level of training. Programs must enhance their current supervision policies to include the new ACGME requirements.

Transition of Care
- Must design clinical assignments to minimize the number of transitions in patient care
- Programs must ensure that trainees are competent in communication with team members in handover process
- Attendings and trainees must inform patients and family members of their roles in their care
- Alertness Management
- Must educate faculty and trainees to recognize the signs of fatigue and sleep deprivation
- Must educate faculty and trainees in fatigue mitigation process
- Develop fatigue mitigation processes to manage potential issues with patient care and learning (i.e. strategic napping, back-up call schedules). Programs must have a process in place to ensure that there is backup in case a trainee is unable to perform his/her patient care duties

Sponsoring Institution Responsibilities:
Supervision
Sponsoring Institution is responsible for ensuring that programs have the appropriate supervisory lines in place for each PGY Level.

Transition of Care
- Along with the program the Institution must ensure and monitor effective, structured handover process to facilitate both continuity of care and patient safety
- Must assure the availability of schedules that inform patients and all members of the healthcare team of faculty and trainees currently responsible for patient care.
- Alertness Management
- Must provide adequate sleep facilities and/or safe transportation options who may be too fatigued to safely drive home

Duty Hours
Duty hours are defined as all clinical and academic activities related to the program; i.e., patient care (both inpatient and outpatient), administrative duties relative to patient care, the provision for transfer of patient care; time spent in-house during call activities, and scheduled activities, such as conferences. Duty hours do not include reading and preparation time spent away from the duty site.

Max Hours per Week
- Duty hours must not exceed 80 hours per week averaged over a four-week period inclusive of call and moonlighting activities

Trainees in their final years of education must be prepared to enter the unsupervised practice of medicine and care for patients over irregular or extended periods within the context of the 80 hour max.

Continuous Duty Hours
- PGY-1 trainees must not exceed 24 hours. Trainees may spend an additional 4 hours to complete transitions in care.
- PGY-2 trainees and above: must not exceed 24 hours. Trainees may spend an additional 4 hours to complete transitions in care. Residents may not attend continuity clinics after 24 hours of continuous in-house duty. Trainees must have at least 14 hours free after 24 hours of in-house duty.

Duty Hour Exceptions
Duty hour exceptions of 80 hours per week averaged over a four-week period for select programs with sound educational rationale are permissible. Program must obtain permission from the Designated Institutional Official and Graduate Medical Education Committee prior to submission to their Review Committee.

Mandatory Time Free of Duty
- Trainees must have a minimum of one day free of duty every week (when averaged over four weeks). At home call cannot be assigned during this time.
- PGY-1 residents should have 10 hours and must have eight hours free between duty periods.
- Intermediate-level residents should have 10 hours and must have eight hours free between duty periods. There must be at least 14 hours free of duty after 24 hours of in-house duty.
Call

In-House Call
Trainees: every third night when averaged over a four-week period.

At-Home Call
- Time spent in the hospital must count towards the 80-hour week limit. At home call is not subject to the ‘every third night’ limitation however trainees must receive one-in-seven free of duty when averaged over a four-week period.
- At home call should not be so frequent or taxing to preclude rest or reasonable personal time for each resident.
- Trainees are permitted to return to the hospital while on at-home call to care for new or established patients. Each episode of this type of care, while it must be included in the 80-hour weekly maximum will not initiate a new off-duty period.

Night Float
Trainees must not be scheduled for more than six consecutive nights of night float. Check with your individual RCs for maximum number of months of night float per year that may be allowed.

Moonlighting
- PGY-1 residents are not permitted to moonlight
- Moonlighting must not interfere with the ability of a trainee to achieve the goals and objectives of the educational program.
- Time spent by trainees in Internal and External moonlighting must be counted towards the 80-hour maximum weekly duty hour limit.

Recording and Reporting Duty Hours
In accordance with the Residency Management Suite (RMS) updating and approving assignments and hours in the duty hours’ policy, trainees are required to accurately record their duty hours in New Innovations.

Reporting Duty Hour Violations
Trainees concerned about continuous duty hour violations by their program can contact the Designated Institutional Official.

FAQ

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DEFINITIONS
RELATED INFORMATION

Principles
1. The program must be committed to and be responsible for promoting patient safety and resident well-being and to providing a supportive educational environment.
2. The learning objectives of the program must not be compromised by excessive reliance on residents to fulfill service obligations.
3. Didactic and clinical education must have priority in the allotment of residents’ time and energy.
4. Duty hour assignments must recognize that faculty and residents collectively have responsibility for the safety and welfare of patients.

HISTORY

<Return to Cover Page>
Texas Institute for Graduate Medical Education and Research

Harassment Policy

<table>
<thead>
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<th>Effective Date: February 2016</th>
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<td>ACGME Common Program Requirement #:</td>
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POLICY STATEMENT

It is TIGMER’s policy to maintain a work environment free of sexual and discriminatory harassment on the basis of race, color, religion, gender, national origin, sexual preference, height, weight, age or disability/handicap. All Residents/Fellows are expected to conduct themselves so as to maintain a work environment free of harassment. No retaliation or reprisals will be tolerated against any individual who complains of, reports or participates in the investigation of any incident of alleged harassment.

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal and/or physical conduct of a sexual nature when: (a) submission to such conduct or communication is made a term or condition, either explicitly or implicitly, to obtain or retain employment or enrollment in a GME program; (b) submission to, or rejection of, such conduct or communication by an individual as a factor in any work related (employment) decision affecting such individual; (c) such conduct or communication has the purpose or effect of unreasonably interfering with a person’s work performance or creating an intimidating, hostile, or offensive work environment.

Discriminatory harassment is defined as verbal or physical conduct including written statements or displayed materials by agents, supervisory employees, co-workers or non-employees directed against any person on the basis of that person’s race, color, religion, gender, national origin, sexual preference, height, weight, age or disability/handicap, or that person’s relatives, friends or associates when such conduct has a purpose or effect of interfering with the person’s work environment, or affecting an individual’s work related (employment) opportunities or causing or aggravating tension or animosity between different racial, ethnic, gender or religious groups.

All residents/Fellows are required to comply with the University of Incarnate Word’s Policy on Harassment-Free Work and Learning Environment as described in the UIW Employee Handbook.

Situations involving behavior described above should be reported immediately to your Program Director or the DIO.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES
FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Resident/Fellow Agreement Policy

Effective Date: February 2016  
Policy Owner: Graduate Medical Education Administration

Last Review Date: December 2016  
Policy Contact: Marsha Sellner

Next Review Date:  
ACGME Institutional Requirement #:

Origination Date: February 2016  
ACGME Common Program Requirement #:

POLICY STATEMENT

The residency/fellowship (trainee) agreement is a required, binding contract between the trainee and the institution. The effective date of the initial agreement is the first mandatory date the trainee is required to report to their GME training program.

Programs accredited by the American Osteopathic Association (AOA) must have the agreement signed and dated by all parties within 10 days of the AOA Match.

REASON FOR POLICY

PROCEDURES

The agreement template is reviewed no less than annually by GME Administration in collaboration with the Office of the General Counsel. GME Administration presents recommended revisions to the Graduate Medical Education Committee (GMEC) for their review, discussion and approval.

GME Administration ensures that each trainee’s agreement is fully executed (all parties have signed and dated it) prior to the effective date. Presuming the original agreement with all required signatures and dates is scanned and saved, the paper copy may be destroyed. The scanned copy becomes the official agreement.

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS
Resident/Fellow Renewal and Promotion Policy

| Effective Date: February 2016 | Policy Owner: Graduate Medical Education Administration |
| Last Review Date: December 2016 | Policy Contact: Marsha Sellner |
| Next Review Date: | ACGME Institutional Requirement #: |
| Origination Date: February 2016 | ACGME Common Program Requirement #: |

POLICY STATEMENT

Resident/Fellow Standing
A trainee whose performance conforms to established evaluation criteria in a consistent and satisfactory manner will be considered to be in “good standing” with the program and institution. Misconduct, failure to comply with the policies and procedures governing the program or unsatisfactory performance based on one or more evaluations may adversely affect the trainee’s standing in the program.

Promotion
After satisfactory completion of each year of GME experience, as attested to by the program director and department chair, a resident/fellow in good standing may be promoted to the next level of training subject to the terms, limitations and conditions described in this document and the Resident/Fellow Agreement.

Promotion to the next level of training is determined by the program and the Sponsoring Institution. The decision to promote is dependent on several factors, which include, but are not limited to:
1. satisfactory completion of all training requirements
2. satisfactory trainee performance
3. documented competence commensurate with level of training
4. successful completion and passing of the USMLE Step 3, COMLEX, etc. prior to entering the PGY-3 level
5. full compliance with all terms of the Resident/Fellow Agreement
6. continuation of the Sponsoring Institution and program ACGME accreditation

A trainee who is on probation may be promoted at the discretion of the program director and department chair. If the decision to promote is made, the probationary status remains in effect until the terms of the remediation agreement are met.

REASON FOR POLICY

Each training program is structured to assure that trainees assume increasing levels of responsibility commensurate with individual progress in experience, skill, knowledge, and judgment.

The term of the TIGMER Resident/Fellow Agreement is one year. However, candidates accepting appointments have an expectation that they will be allowed to complete their training having shown satisfactory progress in meeting the training requirements of their program. This policy outlines the considerations to take into account when promoting trainees to the next level.

PROCEDURES
FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Resident/Fellow Qualification Policy

<table>
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**POLICY STATEMENT**

**Eligibility**

**Residents:**
Prior to their program start date residency program applicants must provide their program with documentation of the following qualifications to be eligible for appointment:

1. Graduation from a medical school in the United States, Canada or Puerto Rico accredited by the Liaison Committee on Medical Education (LCME), OR
2. Graduation from a college of osteopathic medicine in the United States accredited by the American Osteopathic Association (AOA), OR
3. Graduation from a medical school outside the United States, Canada or Puerto Rico with one of the following:
   a. A current valid certificate from the Educational Commission for Foreign Medical Graduates (ECFMG), OR
   b. An unrestricted license or residency permit to practice medicine in Texas, OR
   c. Successful completion of a Fifth Pathway Program in an LCME accredited medical school in the United States; and
4. Passing scores on Steps 1 and 2 (Clinical Knowledge and Clinical Skills) of the United States Medical Licensing Examination (USMLE) or the Comprehensive Osteopathic Medical Licensing Examination (COMLEX).
5. For those trainees entering a program after a Transitional or Preliminary PGY-1 year, a written or electronic verification of previous educational experiences and a summative evaluation of the resident performance addressing the six ACGME competencies.

**Fellows:**

*In addition to the previous 5 requirements*, fellowship program applicants must also provide their program with documentation of the following qualifications to be eligible for appointment:

6. Graduation from an appropriate ACGME residency program (Residents who temporarily suspend their residency training to take a subspecialty fellowship position do not have to provide a completion certificate); and
7. A passing score on Step 3 of the USMLE or COMLEX; and
8. A written or electronic verification of previous educational experiences and a summative competency-based performance evaluation of the trainee.

**Selection**

1. Programs select from among eligible applicants based on their educational preparedness, ability, aptitude, academic credentials, communication skills and personal qualities such as motivation and integrity.
2. The Medical School does not discriminate with regard to sex, race, color, creed, religion, national origin, age, marital status, disability, public assistance status, veteran's status or sexual orientation.

3. The Medical School participates in the National Residency Matching Program (NRMP). Each accredited residency/fellowship program that participates in the NRMP Match will abide by the rules and regulations of the NRMP. Those programs using other Match programs will abide by their rules and regulations.

**Trainee Transfers**

In accordance with the ACGME’s Common Program Requirements prior to accepting a trainee from another residency or fellowship program the program director must obtain the following:

1. Written or electronic verification of previous educational experiences and a summative competency-based performance evaluation of the transferring resident.
2. Proof that they have passed the USMLE Step 3 or COMLEX for PG3 residents or higher.

A program director must provide timely verification of residency education and summative performance evaluations for residents who leave the program prior to completion.

---

**REASON FOR POLICY**

To outline specific qualifications required for eligibility and selection of residents/fellows (trainees) entering a TIGMER Graduate Medical Education training program.

---

**RESPONSIBILITIES**

**Program Responsibilities**

Monitoring and compliance of the eligibility requirements is expected at the Department/Program Level.

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**ADDITIONAL CONTACTS**

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**RELATED INFORMATION**

- National Residency Matching Program
- ACGME Common Program Requirements
- Texas Medical Board License Eligibility Requirements

---

**HISTORY**

<Return to Cover Page>
Resident/Fellow Recruitment and Selection Policy

Effective Date: February 2016
Policy Owner: Graduate Medical Education Administration

Last Review Date: December 2016
Policy Contact: Marsha Sellner

Next Review Date: ACGME Institutional Requirement #:

Origination Date: February 2016
ACGME Common Program Requirement #:

POLICY STATEMENT

Programs must have a policy in place and ensure the following requirements of the Sponsoring Institution and the Accreditation Council for Graduate Medical Education (ACGME) for all candidates (applicants) selected for an interview are met:

1. Candidates for programs must be informed, in writing or by electronic means, of the terms, conditions, and benefits of their appointment.

2. Programs should select from among eligible applicants on the basis of criteria such as educational preparedness, ability, aptitude, academic credentials, communication skills, and personal qualities such as motivation and integrity. Programs must not discriminate with regard to sex, race, age, religion, color, national origin, disability, or any other applicable legally protected status.

3. The program director, in conjunction with the program’s Education Committee, if applicable, and/or teaching faculty reviews all applications, and personal interviews are granted to those applicants thought to possess the most appropriate qualifications, as determined by guidelines established by the program.

4. The Medical School participates in the Electronic Residency Application Service (ERAS), and the National Residency Matching Program (NRMP). Each accredited residency/fellowship program that participates in the NRMP Match will abide by the rules and regulations of the NRMP. Those programs using other Match programs will abide by their rules and regulations. The program director is responsible for verifying the eligibility of all candidates under serious consideration prior to the submission of rank order lists or other offer of a residency position.

5. An offer for residency training is extended directly to the applicant by the program director or his/her designee, through a letter of offer following the completion of the National Match.

6. Immediately following receipt of the results of the Match or the acceptance of an offer for residency training, the program director is responsible for notifying the Graduate Medical Education Department of all candidates accepted and providing a copy of the following:

   a. Copy of medical school diploma
   b. Documentation of any previous residency training
   c. Copy of Texas medical license (when available)
   d. Copy of ECFMG certificate (if applicable)
REASON FOR POLICY
To outline specific qualifications required for selection of residents/fellows (trainees) entering a TIGMER Graduate Medical Education training program.

RESPONSIBILITIES
Program Responsibilities
Monitoring and compliance of the eligibility requirements is expected at the Department/Program Level.

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RELATED INFORMATION
National Residency Matching Program
ACGME Common Program Requirements
Texas Medical Board License Eligibility Requirements

HISTORY
<Return to Cover Page>
Restrictive Covenant Policy

Effective Date: February 2016  
Policy Owner: Graduate Medical Education Administration

Last Review Date: December 2016  
Policy Contact: Marsha Sellner

Next Review Date:  
ACGME Institutional Requirement #:

Origination Date: February 2016  
ACGME Common Program Requirement #:

POLICY STATEMENT
Trainees in TIGMER residency and fellowship programs will not be required to sign non-compete agreements or any other form of restrictive covenant.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Transitions of Care/Handoffs Policy

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<tr>
<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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<td>Origination Date: February 2016</td>
<td>ACGME Common Program Requirement #:</td>
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**POLICY STATEMENT**

Individual programs must design schedules and clinical assignments to maximize the learning experience for residents as well as to ensure quality care and patient safety, and adhere to general institutional policies concerning transitions of patient care. Examples of strategies which have successfully minimized transitions include day/night teams, staggering of intern/resident/attending switch times and/or days to maintain continuity, outpatient clinic “pods” or teams, etc. All training programs must design call and shift schedules to minimize transitions in patient care. Schedule overlaps should include time to allow for face-to-face handoffs to ensure availability of information and an opportunity to clarify issues.

**REASON FOR POLICY**

To establish protocol and standards within the TIGMER residency and fellowship programs to ensure the quality and safety of patient care when transfer of responsibility occurs during duty hour shift changes and other scheduled or unexpected circumstances.

**PROCEDURES**

The transition/hand-off process should involve face-to-face interaction with both verbal and written/computerized communication, with opportunity for the receiver of the information to ask questions or clarify specific issues. The hand-off process may be conducted by telephone conversation. The transition process should include, at a minimum, the following information in a standardized format that is universal across all services:

1. Identification of patient, including name, medical record number, and date of birth
2. Identification of admitting/primary/supervising physician and contact information
3. Diagnosis and current status/condition (level of acuity) of patient
4. Recent events, including changes in condition or treatment, current medication status, recent lab tests, allergies, anticipated procedures and actions to be taken
5. Outstanding tasks – what needs to be completed in immediate future
6. Outstanding laboratories/studies – what needs follow up during shift
7. Changes in patient condition that may occur requiring interventions or contingency plans

Each residency program must develop components ancillary to the institutional transition of care policy that integrate specifics from their specialty field. Programs are required to develop scheduling and transition/hand-off procedures to ensure that:

1. Residents comply with specialty specific/institutional duty hour requirements
2. Faculty are scheduled and available for appropriate supervision levels according to the requirements for
the scheduled residents.
3. All parties involved in a particular program and/or transition process have access to one another’s schedules and contact information. All call schedules should be available on department-specific password-protected websites and also with the hospital operators.
4. Patients are not inconvenienced or endangered in any way by frequent transitions in their care.
5. All parties directly involved in the patient’s care before, during, and after the transition have opportunity for communication, consultation, and clarification of information.
6. Safeguards exist for coverage when unexpected changes in patient care may occur due to circumstances such as resident illness, fatigue, or emergency.
7. Programs should provide an opportunity for residents to both give and receive feedback from each other or faculty physicians about their handoff skills.

Each program must include the transition of care process in its curriculum.

Residents must demonstrate competency in performance of this task. There are numerous mechanisms through which a program might elect to determine the competency of trainees in handoff skills and communication. These include:

1. Direct observation of a handoff session by a supervisory level clinician by a peer or by a more senior trainee
2. Evaluation of written handoff materials by clinician or by a peer or by a more senior trainee
3. Didactic sessions on communication skills including in-person lectures, web-based training, review of curricular materials and/or knowledge assessment
4. Assessment of handoff quality in terms of ability to predict overnight events
5. Assessment of adverse events and relationship to sign-out quality through:
   - Survey
   - Reporting hotline
   - Chart review

Programs must develop and utilize a method of monitoring the transition of care process and update as necessary. Monitoring of handoffs by the program to ensure:

1. There is a standardized process in place that is routinely followed
2. There consistent opportunity for questions
3. The necessary materials are available to support the handoff (including, for instance, written sign-out materials, access to electronic clinical information)
4. A setting free of interruptions is consistently available, for handoff processes that include face-to-face communication
5. Patient confidentiality and privacy are ensured in accordance with HIPAA guidelines

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**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**

**ADDITIONAL CONTACTS**

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DEFINITIONS
A handoff is defined as the communication of information to support the transfer of care and responsibility for a patient/group of patients from one provider to another. Transitions of care are necessary in the hospital setting for various reasons. The transition/hand-off process is an interactive communication process of passing specific, essential patient information from one caregiver to another. Transition of care occurs regularly under the following conditions:

1. Change in level of patient care, including inpatient admission from an outpatient procedure or diagnostic area or ER and transfer to or from a critical care unit.
2. Temporary transfer of care to other healthcare professionals within procedure or diagnostic areas
3. Discharge, including discharge to home or another facility such as skilled nursing care
4. Change in provider or service change, including change of shift for nurses, resident sign-out, and rotation changes for residents.

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Vendor/Conflict of Interest Policy

**Effective Date:** February 2016

**Policy Owner:** Graduate Medical Education Administration

**Last Review Date:** December 2016

**Policy Contact:** Marsha Sellner

**Next Review Date:**

**Origination Date:** February 2016

**ACGME Institutional Requirement #:**

**ACGME Common Program Requirement #:**

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**POLICY STATEMENT**

In accordance with guidelines set forth by the American Medical Association Statement on Gifts to Physicians, acceptance of gifts from industry vendors is discouraged. Any gifts accepted by residents/fellows (trainees) should not be of substantial value. Accordingly, textbooks, modest meals and other gifts are appropriate only if they serve a genuine educational purpose. Acceptance of gifts should not influence prescribing practices or decision to purchase a device. Any gifts from patients accepted by trainees should not be of substantial value.

---

**REASON FOR POLICY**

To clarify the considerations residents and fellows should take into account when interacting with industry representatives. The term “industry” includes but is not limited to pharmaceutical, biomedical device, equipment and other health-care related industries.

---

**PROCEDURES**

---

**FORMS/INSTRUCTIONS**

---

**RESPONSIBILITIES**

**PROGRAM RESPONSIBILITIES**

Program Directors are responsible for educating their trainees on the proper protocol for interacting with industry representatives. Program Manuals may have specific policies. Hospitals may also have specific policies.

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**FAQ**

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**DEFINITIONS**

**Individual Conflicts**
An individual conflict exists when a relationship between a covered individual's private business or financial interests, or those of the covered individual's family members, and the covered individual's expertise and responsibilities might cause an independent observer to reasonably question whether the individual's objectivity in the performance of TIGMER responsibilities could be compromised by considerations of personal gain.

**Institutional Conflicts**

An institutional conflict of interest exists when the research, teaching, outreach, or other activities of TIGMER may be compromised because of an external financial or business relationship held at the institutional level that may bring financial gain to TIGMER, any of its member institutions, or the individuals covered by this policy.

---

**RELATED INFORMATION**

**HISTORY**

<Return to Cover Page>
Compensation and Benefits Policy

Effective Date: Policy Owner: Graduate Medical Education Administration
Last Review Date: June 2018 Policy Contact:
Next Review Date: ACGME Institutional Requirement #:
Origination Date: February 2016 ACGME Common Program Requirement #:

POLICY STATEMENT

Benefits

Current information on benefits are posted on the UIWHR website www.uiw.edu/hr

Current information on compensation, benefits, and stipend amounts will be posted on the website annually.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

ADDITIONAL CONTACTS

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DEFINITIONS

RELATED INFORMATION

HISTORY
Learner Disability Assessment and PsychoEd Evaluation Policy

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<th>Effective Date: February 2016</th>
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POLICY STATEMENT

It is recognized that trainees in our GME programs may benefit from having a learner disability assessment and/or a psycho-educational evaluation. This may include an assessment for attention deficit hyperactivity disorder (ADHD).

The costs associated with learner disability assessments and psycho-educational evaluations are the responsibility of the trainee. Some forms of assessment may be covered by health insurance.

When not covered by health insurance:

- The program may choose to share in the cost of the assessments if they determine it is in the best interest of the trainee and the program to do so.
- If the assessment or evaluation is a condition of the trainee’s appointment, then the cost of the assessment or evaluation is the responsibility of the program.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ
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## DEFINITIONS

## RELATED INFORMATION

## HISTORY

<Return to Cover Page>
Physician Impairment and Substance Abuse Policy

Effective Date: February 2016  
Policy Owner: Graduate Medical Education Administration

Last Review Date: September 2018  
Policy Contact: Marsha Sellner

Next Review Date:  
ACGME Institutional Requirement #:

Origination Date: February 2016  
ACGME Common Program Requirement #:

POLICY STATEMENT

Impairment can be due to medical and/or mental illness, including substance use. It is the policy of TIGMER to provide a drug-free workplace by prohibiting the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance or alcohol.

A Resident will be required to undergo a drug and alcohol test any time a supervisor has a suspicion (based on abnormal speech, appearance, odor, attendance, behavior or conduct, etc.) that a Resident’s behavior is unusual/impaired as a result of the use of drugs and/or alcohol. Residents/Fellows who refuse to be tested for drugs and/or alcohol will be considered to be insubordinate and will be subject to disciplinary action up to and including termination.

When a Resident has been identified, as having a substance abuse or dependency problem, the Resident will be referred to the Employee Assistance Program for counseling and assistance in the mandatory reporting to the Texas Physician Health Program (TPHP). The Resident will be removed from work pending evaluation and recommendations from the TPHP. The TPHP also evaluates professionals who may be experiencing mental disorders that interfere with patient care and professionalism.

If the TPHP recommends a treatment plan, TPHP will require the Resident to sign a contract stipulating the conditions under which the Resident can return to the training program and care for patients in the State of Texas. Prior to returning to work, the Resident must provide a copy of the TPHP treatment plan recommendation and signed contract to the DIO. If the TPHP does not recommend its monitoring of and/or a treatment plan for the Resident, then the responsible Program Director and the DIO will discuss alternative monitoring and/or intervention for the Resident. In addition, the Resident may be required to sign an agreement supplemental to the Residency Agreement which outlines conditions under which he/she may continue in the training program and any other matters specific to the individual Resident’s circumstances.

The Resident must agree to submit to periodic alcohol or drug screening testing, as appropriate to the impairment, anytime at the request of the DIO or the Program Director. Similarly, the Resident must agree to undergo medical and/or psychiatric evaluation, as appropriate to the impairment, anytime at the request of the DIO or Program Director. Failure to comply with such requests will be subject to disciplinary action up to and including termination.
REASON FOR POLICY
The Sponsoring Institution is committed to maintaining the physical and mental health of Resident Physicians, as well as to maintaining a drug-free clinical learning environment (CLE). Some health conditions, including substance abuse, are incompatible with high quality patient care, optimal performance of healthcare teams, and personal and professional growth. Prevention of impairment is a primary goal.

The purpose of this policy is to assure a fair, reasonable, and confidential assessment of a physician who is suspected of being impaired, to facilitate the impaired resident’s recovery, and to assist the resident’s program in developing a reasonable plan for the resident’s professional progress after treatment/recovery.

This policy will focus primarily on resident impairment related to substance use and/or mental health disorders.

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

ADDITIONAL CONTACTS

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DEFINITIONS
Texas Physician Health Program Website

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Disability Accommodations Policy

Effective Date: February 2016 | Policy Owner: Graduate Medical Education Administration
---|---
Last Review Date: June 2018 | Policy Contact: Marsha Sellner
Next Review Date: | ACGME Institutional Requirement #: IV.H.4.
Origination Date: February 2016 | ACGME Common Program Requirement #:

POLICY STATEMENT
Please refer to the UIW employee handbook at: [http://www.uiw.edu/hr/documents/employeehandbook.pdf](http://www.uiw.edu/hr/documents/employeehandbook.pdf)

Chapter 15

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

ADDITIONAL CONTACTS

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Professional Liability Insurance Policy

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<td>Origination Date: February 2016</td>
<td>ACGME Common Program Requirement #:</td>
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POLICY STATEMENT

All interns and residents (house staff) in training are provided with professional liability (malpractice) insurance coverage for claims arising in the course of their training. “Moonlighting” is not covered. Evidence of coverage will be furnished upon written request. Each house staff member is covered on the effective date of appointment. Coverage expires at termination of appointment. House staff physicians, upon becoming aware of an actual or alleged claim, must immediately advise their Residency Program Director and the hospital risk manager.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

ADDITIONAL CONTACTS

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DEFINITIONS

RELATED INFORMATION

HISTORY
Texas Institute for Graduate Medical Education and Research

<Return to Cover Page>
Counseling and Support Services Policy

Effective Date: February 2016
Policy Owner: Graduate Medical Education Administration

Last Review Date: June 2018
Policy Contact: Marsha Sellner

Next Review Date: ACGME Institutional Requirement #:

Origination Date: February 2016
ACGME Common Program Requirement #:

POLICY STATEMENT
A TIGMER Resident or Fellow who wishes to seek confidential free counseling services for themselves and/or immediate family are encouraged to call the MetLife - Lifeworks Employee Assistance Program.

Please see UIW employee handbook:

http://uiw.edu/hr/benefits/resourcesforliving.html.

In emergencies, the Resident or Fellow is encouraged to use the Emergency Department at their nearest hospital. At the housestaff Resident and Fellow orientation, the process and policy for support services are reviewed. Program directors are advised to emphasize the same at their Program’s individual orientation.

Residents and fellows may self-refer to the Texas Physician Health Program by calling 512-305-7462 or by visiting their web site at www.txphp.state.tx.us/index.html. The TXPHP can confidentially direct the resident or fellow to resources to assist with issues of impairment due to substance abuse or psychological illness.

During orientation and at least annually thereafter, the GME administration will review options for confidential counseling services for all trainees.

REASON FOR POLICY

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ
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## DEFINITIONS

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## RELATED INFORMATION

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## HISTORY

<Return to Cover Page>
Holiday Leave Policy and Procedure

| Effective Date: February 2016 | Policy Owner: Graduate Medical Education Administration |
| Last Review Date: June 2018 | Policy Contact: Marsha Sellner |
| Next Review Date: | ACGME Institutional Requirement #: IV.A.3.a), IV.B.2.i), IV.G.1. |
| Origination Date: February 2016 | ACGME Common Program Requirement #: |

**POLICY STATEMENT**

Holiday scheduling for trainees is rotation-specific by program. The educational requirements and the 24 hour operational needs of the hospital are taken into consideration when scheduling holiday time off.

**REASON FOR POLICY**

To define who determines the holiday time off policy for residents/fellows (trainees) enrolled in TIGMER Graduate Medical Education training programs.

**PROCEDURES**

**Program Responsibility**

Programs are responsible for tracking time off for all leaves to insure that specialty board requirements are met prior to graduation from the program.

Programs must work with their trainees to report all leaves in the Residency Management Suite (RMS) according to instructions received by their program coordinator.

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**

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**DEFINITIONS**
RELATED INFORMATION

HISTORY

<Return to Cover Page>
Bereavement Leave Policy and Procedure

Effective Date: February 2016  Policy Owner: Graduate Medical Education Administration

Last Review Date: May 2018  Policy Contact:

Next Review Date:  ACGME Institutional Requirement

Origination Date: February 2016  ACGME Common Program Requirement #:

POLICY STATEMENT
A resident/fellow (trainee) shall be granted, upon request to the program director, up to 3 days off to attend the funeral of an immediate family member.

Please see UIW Employee Handbook Section 4.3 – Bereavement Leave

http://www.uiw.edu/hr/documents/employeehandbook2017.pdf

REASON FOR POLICY

PROCEDURES
Program Responsibilities
Programs are responsible for tracking time off for all leaves to insure that specialty board requirements are met prior to graduation from the program.

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS
RELATED INFORMATION

HISTORY

<Return to Cover Page>
# Medical Leave Policy and Procedure

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<td>ACGME Common Program Requirement #:</td>
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## POLICY STATEMENT
The resident/fellow (trainee) please see UIW Employee Handbook Section 4.7 – Medical Leave of Absence

[http://www.uiw.edu/hr/documents/employeehandbook2017.pdf](http://www.uiw.edu/hr/documents/employeehandbook2017.pdf)

## REASON FOR POLICY

## PROCEDURES

### Trainee Next Steps

**Check with your department/program to determine**:  
- what type of paperwork needs to be completed;  
- if you qualify for Family Medical Leave Act (FMLA) and how it will be managed;  
- how your pay will be impacted;  
- how your benefits need to be coordinated; and  
- if your leave will extend your time in the program

Please see your Program Manual for specific departmental policies and procedures.

### Program Responsibility
Programs are responsible for tracking time off for all leaves to insure that specialty board requirements are met prior to graduation from the program.

Programs must work with their trainees to report all leaves in the Residency Management Suite (RMS) according to instructions received by Human Resources. Programs must also forward documentation to HR for leaves that extend the trainee’s time in the program.

## FORMS/INSTRUCTIONS

## RESPONSIBILITIES

## FAQ
ADDITIONAL CONTACTS

<table>
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<th>Subject</th>
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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Family Medical Leave Act Policy

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<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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**POLICY STATEMENT**

Residents and fellows (trainees) please see UIW Employee Handbook Section 4.8 – Family and Medical Leave

[http://www.uiw.edu/hr.documents/employeehandbook2017.pdf](http://www.uiw.edu/hr.documents/employeehandbook2017.pdf)

**REASON FOR POLICY**

**PROCEDURES**

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**

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**DEFINITIONS**
RELATED INFORMATION

HISTORY

<Return to Cover Page>
Military Leave Policy and Procedure

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<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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**POLICY STATEMENT**

The resident/fellow (trainee) must notify the program as soon as they are called to active military duty. It is incumbent upon the Program Director to notify both the individual RRC and the Board of this change in status.

Please see UIW Employee Handbook Section 4.12 – Military Leave

http://www.uiw.edu/hr/documents/employeehandbook2017.pdf

**REASON FOR POLICY**

**PROCEDURES**

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**

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**DEFINITIONS**

**RELATED INFORMATION**
HISTORY

<Return to Cover Page>
Vacation and Sick Leave Policy and Procedure

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<th>Effective Date: February 2016</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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<td>Origination Date: February 2016</td>
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</table>

POLICY STATEMENT
RESIDENTS receive 10 paid vacation days and 5 paid sick leave days total per contract period. “Vacation” is defined as time off for a vacation or personal time, and “Sick” leave is defined as time off for illness. Vacation and Sick Leave are requests require the Program Director’s approval. Unused Vacation and Sick Leave do not accrue and expire at the end of the contract.

REASON FOR POLICY

PROCEDURES
Program Responsibility
The program is responsible for defining and communicating the following items, including but not limited to:

- The vacation leave and sick leave.
- The process for requesting time off.

Programs are responsible for tracking time off for all leaves to insure that specialty board requirements are met prior to graduation from the program.

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS
Moonlighting Policy

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<th>Effective Date: June 2017</th>
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<td>Origination Date: June 2017</td>
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**POLICY STATEMENT**

The nature of the postgraduate training requires that residents understand their extensive clinical activity and availability to patients at times other than the regular working day and that the program has a continuing academic component that requires continual personal effort. Although residency education is considered a full-time endeavor, moonlighting by residents may be allowed under the following conditions:

- Resident must be in good standing with the program, without probation, suspension or having outstanding medical records.
- Resident must have an In-training composite performance score at the 25th percentile or higher for their year level.
- Resident must have completed at least 12 months of post-graduate training with a TIGMER training program.
- Resident must have a current, full Texas medical license and DEA number.
- Resident must obtain written permission by the Program Director.
- Resident understands the TIGMER liability coverage will not be extended to cover moonlighting activities of the resident that fall outside the course and scope of the individual’s residency appointment.

Moonlighting guidelines:

- Maximum of 24 hours per four (4) week block for a “call” rotation
- Maximum of 48 hours per four (4) week block for a “non call” rotation
- A 12-hour shift cannot be a night shift proceeding a regular workday or following a night on-call
- All moonlighting duty hours must be documented in New Innovations
- The total number of hours worked per week (including residency rotations and all moonlighting time) cannot exceed 80 hours, per ACGME rules.

In the event a resident is given permission to moonlight, the program director will monitor the resident’s performance for the effect of these activities upon performance in the trainee’s program. Should moonlighting interfere with the ability of the resident to achieve the goals and objectives of the residency program, the program director may withdraw permission allowing the resident to engage in professional activities outside the training program.

Violation of the above rules and guidelines may result in loss of moonlighting privileges and disciplinary action against the resident.

**REASON FOR POLICY**

**PROCEDURES**
### ADDITIONAL CONTACTS

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### DEFINITIONS

### RELATED INFORMATION

### HISTORY

<Return to Cover Page>
# Medical Board Mandatory Reporting Policy

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<th>Effective Date: June 2017</th>
<th>Policy Owner: Graduate Medical Education Administration</th>
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**POLICY STATEMENT**

The Texas Medical Board requires that the director of each postgraduate training program report in writing to the Executive Director of the Board the following events within 30 days of the director’s knowledge:

1. if a physician did not begin the training program due to failure to graduate from medical school as scheduled or for any other reason(s);

2. if a physician has been or will be absent from the program for more than 21 consecutive days (excluding vacation, military, or family leave not related to the participant’s medical condition) and the reason(s) why;

3. if a physician has been arrested after the permit holder begins training in the program;

4. if a physician poses a continuing threat to the public welfare as defined under Tex. Occ. Code §151.002(a)(2), as amended;

5. if the program has taken final action that adversely affects the physician's status or privileges in a program for a period longer than 30 days;

6. if the program has suspended the physician from the program;

7. if the program has requested termination or terminated the physician from the program, requested or accepted withdrawal of the physician from the program, or requested or accepted resignation of the physician from the program and the action is final.

The Texas Medical Board requires that any resident who holds a Physician in Training License report in writing to the Executive Director of the Board the following events within 30 days of their occurrence:

(a) Failure of any PIT holder to comply with the provisions of this chapter or the Medical Practice Act §160.002 and §160.003 may be grounds for disciplinary action as an administrative violation against the PIT holder.

(b) The PIT holder shall report in writing to the executive director of the board the following circumstances within thirty days of their occurrence:

1. the opening of an investigation or disciplinary action taken against the PIT holder by any licensing entity other than the TMB;
2. an arrest, fine (over $250*), charge or conviction of a crime, indictment, imprisonment, placement on probation, or receipt of deferred adjudication; and
3. diagnosis or treatment of a physical, mental or emotional condition, which has impaired or could impair the PIT holder's ability to practice medicine.
REASON FOR POLICY
The Texas Medical Board (TMB) requires mandatory reporting of certain events by the Residency Program Director and/or the residents for those holding Physician in Training Licenses. The TMB may discipline the program or the resident if reporting is not completed within 30 days of the listed event.

PROCEDURES

FORMS/INSTRUCTIONS
Forms and instructions on reporting are available on the Texas Medical Board website at the following address: http://www.tmb.state.tx.us/page/pit-overview

RESPONSIBILITIES

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Resident and Fellow Forum Policy

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<th>Effective Date:</th>
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**POLICY STATEMENT**

All TIGMER residents and fellows are invited to participate in the resident and fellow forum established to provide an opportunity for communications and the exchange of information related to the working environment of residents and fellows at TIGMER clinical sites. The forum will occur monthly.

Through this forum residents and fellows are able to raise issues in a confidential manner without fear of intimidation or retaliation. Residents and fellows have the option, at least in part, to conduct their forum without the DIO, faculty members, or other administrators present.

The forum provides an open, group discussion that allows residents and fellows to discuss their educational and work environments, their programs and other relevant issues they may face during training, along with promoting the well-being of the residents and fellows.

One individual resident or fellow from each program will be elected by his or her peers to serve as a representative to the forum. These individuals will bring relevant issues to the GMEC with the assurance of confidentiality.

**REASON FOR POLICY**

In accordance with ACGME Institutional Requirements, residents/fellows must have the opportunity to communicate and exchange information with each other relevant to their ACGME-accredited programs.

**PROCEDURES**

**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Quality Improvement/Patient Safety Policy

Policy Owner: Graduate Medical Education Administration

Effective Date: Policy Contact:
Last Review Date: April 2018
Next Review Date: ACGME Institutional Requirement #:
Origination Date: July 2017 ACGME Common Program Requirement #:

POLICY STATEMENT

Each residency and fellowship program must ensure that each resident/fellow participates in real and or simulated interprofessional clinical patient safety /quality improvement activities. In accordance with ACGME Common Program Requirements “Graduate medical education must prepare residents to provide the highest level of clinical care with continuous focus on the safety, individual needs, and humanity of their patients.”

TIGMER’s Graduate Medical Education Committee (GMEC) requires each ACGME accredited residency and fellowship program to develop policies to ensure all residents are involved in Quality Improvement/Patient Safety activities.

Quality Improvement/Patient Safety activities include but are not limited to the following:

- Quality Improvement/Patient Safety Conferences (e.g., Morbidity and Mortality)
- Participation in institutional Quality Management Committees
- Grand Rounds
- Patient Satisfaction Surveys
- Core Measures
- Utilization Management
- Elective Quality Improvement rotations
- Scholarly activity resulting in implementation of initiatives to improve patient quality and safety of care.

Every training program must incorporate Quality Improvement/Patient Safety resources that focus on root causes, risk reduction and other didactic modules that can be accessed by both faculty and residents. At a minimum, every training program must incorporate Quality Improvement/Patient Safety Conferences (e.g., Morbidity and Mortality) into its curriculum.

In conjunction with the Annual Program Evaluation, The DIO for TIGMER will provide the GMEC with a report of Quality Improvement/Patient Safety activities as they pertain to the residents and the teaching programs.

The DIO will address insufficient Quality Improvement/Patient Safety involvement.

REASON FOR POLICY

TIGMER Graduate Medical Education Committee (GMEC) requires each ACGME accredited residency and fellowship program to develop policies to ensure all residents are involved in Quality Improvement Patient Safety activities.
PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
Professionalism – Code of Conduct

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POLICY STATEMENT
Residents are responsible for demonstrating and abiding with the following professionalism principles and guidelines.

Physicians must develop habits of conduct that are perceived by patients and peers as signs of trust. Every physician must demonstrate sensitivity, compassion, integrity, respect, professionalism, and maintain patient confidentiality and privacy. A patient’s dignity and respect must always be maintained. Under all circumstances, response to patient needs shall supersede self-interest.

REASON FOR POLICY

PROCEDURES
A medical professional consistently transmits respect for patients by his/her performance, behavior, attitude and appearance. Commitment to carrying out professional responsibilities and an adherence to ethical principles are reflected in the following expected behaviors:

Respect patient privacy and confidentiality

- Knock on the door before entering a patient’s room.
- Appropriately drape a patient during an examination.
- Do not discuss patient information in public areas, including elevators and cafeterias.
- Keep noise levels low, especially when patients are sleeping.

Respect patient self-autonomy and the right of a patient and a family to be involved in care decisions.

- Identify yourself and your professional level to patients and staff.
- Wear name tags that clearly identify names and roles.
- Take time to ensure patient and family understanding and informed consent of medical decisions and progress.

Respect the sanctity of the healing relationship.

- Exhibit compassion, integrity and respect for others.
- Ensure continuity of care when a patient is discharged from a hospital by documenting who will provide that care and informing the patient of how that caregiver can be reached.
- Respond promptly to phone messages and pages.
- Provide reliable coverage through colleagues when not available.
- Maintain and promote physician/patient boundaries.
Respect individual patient concerns and perceptions,

- Comply with accepted standards of dress as defined by each institution
- Arrive promptly for patient appointments.
- Remain sensitive and responsive to a diverse patient population, including but not limited to diversity in gender, age, culture, race, religion, disabilities, and sexual orientation.

Respect the systems in place to improve quality and safety of patient care.

- Complete all mandated on-line tutorials and public health measure (e.g. TB skin testing) within designated timeframe.
- Report all adverse events within at timely fashion.
- Improve systems and quality of care through critical self-examinations of care.

Respect for peers and co-workers.

- Respect for colleagues is demonstrated by maintaining effective communication.
- Inform primary care providers of patient’s admission, the hospital content and discharge plans.
- Provide consulting physicians all data needed to provide a consultation.
  Patient’s records must be accurate and legible. Timely and accurate completion of medical records according to specific guidelines of the affiliated institution at which the resident is rotating is mandatory.
- Maintain legible and up-to date medical records, including dictating discharge summaries within approved hospital guidelines.
- Inform all members of the care team, including non-physician professionals, of patient plans and progress.
- Provide continue verbal and written communication to referring physicians.
- Provide all appropriate supervision needed for those one is supervising, by informing and involving supervising faculty of any changes in patient status, and by providing informed and safe handoffs to colleagues who provide patient coverage.

Respect for the residency program.

- Provide leadership in improving the residency program for future trainees.
- Provide constructive criticism focused on potential solutions to problems.
- Do not make derogatory comments about the program or program faculty.
- Assist with the creation of new or improved educational experiences when possible.

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**FORMS/INSTRUCTIONS**

**RESPONSIBILITIES**

**FAQ**
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## DEFINITIONS

## RELATED INFORMATION

## HISTORY

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Dress Code Policy

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**POLICY STATEMENT**

Every resident is a representative of TIGMER and of the hospital/clinic at which they are completing their GME training. Residents are expected to dress according to generally accepted professional standards appropriate for their training program. Dress, personal hygiene and grooming standards contribute positively to the professional image the resident physician presents to patients and their families. Clothing should be appropriate for all patient care, with patient respect in mind. Each individual’s training program may set more specific guidelines for dress code. Each individual’s training program may evaluate and make determinations regarding dress code policy compliance.

**REASON FOR POLICY**

To establish guidelines to ensure that the resident/fellows portray a professional image to the patients, visitors, and fellow employees that allows for the safe performance of job duties when working at a trainee hospital location.

**FORMS/INSTRUCTIONS**

**General Dress Guidelines**

The resident/fellow’s personal appearance while on duty, or in areas where contact with patients or their families is possible, shall be neat, clean, professional.

**Professional Dress**

<table>
<thead>
<tr>
<th>Professional Dress</th>
<th>Blouses, sweaters, suit or sport jackets, professional shirts, dress shirts, sweaters, polo-type shirts, turtlenecks, dress pants, slacks, trousers, khaki type slacks, skirts, dresses, skirted suits, professional dresses and skirts with or without slits should be knee length or longer. Tight fitting or revealing garments, blue jeans, or items of clothing imprinted with advertising or objectionable language are prohibited.</th>
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<tbody>
<tr>
<td>Footwear</td>
<td>Closed-toed shoes that completely cover and protect the tops and sides of feet should be worn.</td>
</tr>
<tr>
<td>Lab Coat/Scrub Suits</td>
<td>Lab coats and scrub suits should be worn as directed by the applicable program, and should be clean and without signs of wear or stains.</td>
</tr>
<tr>
<td>ID Badge</td>
<td>The trainee’s identification badges are to be worn at all times at the trainee hospital. ID Badges need to be visible and worn above the waist.</td>
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</table>
Grooming Guidelines

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<thead>
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<th>Cologne/Perfume</th>
<th>Fragrance is strongly discouraged due to patient sensitivities and allergies.</th>
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<tbody>
<tr>
<td>Facial Hair</td>
<td>Mustaches and beards should be clean, neatly groomed, and moderate.</td>
</tr>
<tr>
<td>Fingernails</td>
<td>Fingernails are to be kept clean and neatly trimmed and of an appropriate length to perform job duties. Artificial nails are prohibited from being worn by any direct patient care staff.</td>
</tr>
<tr>
<td>Hair</td>
<td>Hair shall be neat, clean, of a natural occurring or naturally occurring dyed color. Extreme haircuts are inappropriate.</td>
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<tr>
<td>Jewelry</td>
<td>Jewelry or body piercing should not interfere with direct patient care or other on duty responsibilities.</td>
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RESPONSIBILITIES

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<tr>
<td>Primary Contact(s)</td>
<td>Taylor Aoughsten</td>
<td>210-283-6304</td>
<td><a href="mailto:aoughste@uiwtx.edu">aoughste@uiwtx.edu</a></td>
</tr>
<tr>
<td></td>
<td>Michael Mohr, DO</td>
<td>210-619-7032</td>
<td><a href="mailto:mjmo@uiwtx.edu">mjmo@uiwtx.edu</a></td>
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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
GME Forms

<table>
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<th>Effective Date: March 2018</th>
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<td>Origination Date:</td>
<td>ACGME Common Program Requirement #:</td>
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List of Forms
1. Conflict of Interest Form
2. Clinical Competency Committee Protocol and Requirements
3. Program Evaluation Committee Protocol and Requirements
Conflict of Interest Signature Form

By affixing my signature below, I hereby acknowledge and affirm:

1. I have received a copy of the Texas Institute of graduate Medical Education and Research (TIGMER) Conflict of Interest Policy.

2. I have read and understand the Conflict of Interest Policy.

3. I agree to comply with the spirit and intent of the Conflict of Interest Policy.

Signature____________________________________________________________

Name_______________________________________________________________

Date______________________________
Clinical Competency Committee Protocol and Requirements

The Clinical Competency Committees (see below) will review and use assessment data, including faculty member assessments of residents on rotations, self-evaluations, peer evaluations, and evaluations by nurses and other staff members. Each program may continue to use its current resident assessment tools, and phase in tools developed specifically for the milestones when these become available.

The Program Director is responsible for appointing faculty to the CCC.

At a minimum the CCC must be comprised of three key members of the program faculty. Others eligible for appointment to the committee can include faculty from other programs and non-physician members of the health care team.

The Clinical Competency Committee will:

1. Review all resident evaluations semi-annually;
2. Prepare and assure the reporting of Milestones evaluations of each resident semi-annually to ACGME, and;
3. Advise the program director regarding resident progress, including promotion, remediation, and dismissal.

The Clinical Competency Committee will annually review their program-specific requirements to ensure compliance with all aspects of CCC duties, responsibilities and reporting to the ACGME.

<Return to Cover Page>
Program Evaluation Committee Protocol and Requirements

The Program Evaluation Committee (defined below) must document formal, systematic evaluation of the curriculum and program administration at least annually, and is responsible for rendering a written and Annual Program Evaluation (formally referred to as the Annual Program Review (APR).

The Program Director is responsible for appointing faculty to the Program Evaluation Committee (PEC).

The Program Evaluation Committee:

1. Must be comprised of at least two program faculty members and should include at least one resident;
2. Must have a written description of its responsibilities; and,
3. Should participate actively in:
   a. Planning, developing, implementing, and evaluating educational activities of the program;
   b. reviewing and making recommendations for revision of competency-based curriculum goals and objectives;
   c. addressing areas of non-compliance with ACGME standards; and,
   d. reviewing the program annually using evaluations of faculty, residents, and others, as specified below.

The program, through the PEC, must document formal, systematic evaluation of the curriculum at least annually, and is responsible for rendering a written and Annual Program Evaluation (APE).

The program, through the PEC, must monitor and track each of the following areas:

a. resident performance
b. faculty development
c. graduate performance
d. program quality as:
   • Residents and faculty must have the opportunity to evaluate the program confidentially and in writing at least annually, and
   • The program must use the results of residents’ and faculty members’ assessments of the program together with other program evaluation results to improve the program.
e. progress on the previous year’s action plan(s).

The PEC must prepare a written plan of action to document initiatives to improve performance in one or more of the areas listed above, as well as delineate how they will be measured and monitored. The written action plan can also include areas of innovation as it relates to program improvement.

The action plan should be reviewed and approved by the teaching faculty and documented in meeting minutes.

<Return to Cover Page>
Annual Institutional Review Policy

Effective Date: February 2016  Policy Owner: Graduate Medical Education Administration

Last Review Date: April 2018  Policy Contact: Marsha Sellner

Next Review Date:  ACGME Institutional Requirement #: [I.B.5.c]

Origination Date: February 2016  ACGME Common Program Requirement #: [I.B.5.c]

POLICY STATEMENT

This policy is to establish an Annual Institutional Review process for TIGMER and to identify institutional performance indicators for the Annual Institutional Review (AIR) and reporting and monitoring processes.

The GMEC will appoint members of the Institutional Review Subcommittee on an annual basis to review the performance indicators and prepare the report for the GMEC.

Performance Indicators

The Annual Institutional Review (AIR) will include, but not be limited to, the following performance indicators:

- Results of the most recent institutional self-study visit
- Results of the most recent institutional accreditation status.
- Results of ACGME Surveys of Residents/Fellows and Core Faculty.
- Notification of ACGME-Accredited Programs accreditation status and self-study visits.
- Results of Programs response to the domains of ACGME CLER Review.
- Compliance with up to date, signed institutional agreements, Mission Statement, Inter-Institutional Agreement, Affiliation Agreements, Program Letters of Agreement (PLA)
- Results of Annual Program Review.
- Review status of Residency Review Committee Citations.
- Results of most recent Clinical Learning Environment Review (CLER)
- Resident/Fellow Scholarly Pursuits
- Resident/Fellow Patient Safety/Quality Improvement Projects
- Faculty Scholarly Pursuits
- Faculty Patient Safety/Quality Improvements

Report to GMEC

- A written Executive Summary of the Annual Institutional Review will be submitted to the Graduate Medical Education Committee (GMEC) by the Institutional Review Subcommittee.
- Any item listed above that is found by the GMEC to be out of compliance will be monitored by the GMEC for progress. The frequency of the reporting shall be determined by the DIO based upon the nature of the noncompliant item.
• Should any item(s) need monitoring, the GMEC may charge the Subcommittee to conduct additional document review, develop objectives and/or corrective action plan, review citation correction progress and/or conduct appropriate mentoring.
  o Recommendations of the Subcommittee shall be reported to the full GMEC for approval.
• The GMEC may stipulate additional monitoring procedures for action plans resulting from the Subcommittee’s review.

Report Dissemination

• In accordance with the ACGME Institutional Requirements (I.B.5.c.), the DIO must submit a written annual executive summary of the AIR to the following governing bodies:
  o TIGMER Board of Directors
  o UIWSOM Dean
  o Corporate Member (UIW)
  o CEO’s of each TIGMER member institution

REASON FOR POLICY

This policy is to establish an Annual Institutional Review process for TIGMER and to identify institutional performance indicators for the Annual Institutional Review (AIR) and reporting and monitoring processes.

PROCEDURES

FORMS/INSTRUCTIONS

RESPONSIBILITIES

FAQ

ADDITIONAL CONTACTS

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
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<td></td>
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</tr>
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</table>

DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
GME Special Review

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<th>Policy Owner: Graduate Medical Education Administration</th>
</tr>
</thead>
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</tr>
<tr>
<td>Origination Date: April 2018</td>
<td>ACGME Common Program Requirement #:</td>
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**POLICY STATEMENT**

Per the Institutional Program Requirements section I.B.6. The GMEC must demonstrate effective oversight of underperforming programs through a Special Review process.

The Special Review process must include a protocol that:

1. Establishes criteria for identifying underperformance; and,
2. Results in a report that describes the quality improvement goals, the corrective actions, and the process for GMEC monitoring of outcomes.

TIGMER’s special Review process is developed and maintained by the GMEC. The purpose is to assess the performance of all GME training programs in order to optimize the quality of education for the trainees and the support and development of their educators.

The GMEC will establish criteria for identifying program underperformance, develop protocols to use for special review and provide reports that describe the quality improvement goals and corrective actions that the program will use and the process that the GMEC will use to monitor outcomes.

The GMEC criteria for identifying underperformance may include, but are not limited to:

- Program Attrition in faculty or Resident/Fellow
- Resident/Fellow or Faculty survey demonstrating noncompliance or significant variance
- Board pass rate; acceptable by ACGME specialty standards
- Major changes in the curriculum or participating site
- Insufficient scholarly activity of Resident/Fellow or faculty
- Case logs/Clinical experience sufficiency
- Failure to implement or document outcomes in milestones or competencies
- Inability to demonstrate success in the CLER areas
  - Patient Safety/Quality Improvement
  - Transitions of Care
  - Supervision of Residents/Fellow
  - Duty Hours, Fatigue Management and Mitigation
  - Professionalism
- Any indication of noncompliance with ACGME Common, Specialty, or Institutional Requirements or TIGMER policy

**REASON FOR POLICY**
PROCEDURES

Focused Reviews; may be done at the discretion of the GMEC and may involve one or more criteria of an underperforming program but may not trigger a Special Review.

When a residency/fellowship program is deemed to have met the established criteria for designation as an underperforming program, the DIO shall schedule a special review.

Special Review Panel

Each special review shall be conducted by a panel including at least one member of the GMEC, who shall serve as chair of the panel; one additional GMEC member and one resident/fellow. Additional reviewers may be included on the panel as determined by the GMEC/DIO. Panel members shall be from within the sponsoring institution but shall not be from the program being reviewed. Administrators from outside the program may also be included.

The chair of the special review panel, in coordination with the GMEC/DIO shall identify the concerns to be reviewed. These concerns may range from those that encompass the entire operation of the program to single, specific areas of interest. Based on the specific area of interest, the program being reviewed may be asked to provide information and documentation prior to the review in order for the panel to understand the identified concern.

Materials to be used in the special review process may include:

- The ACGME Common, Specialty/Subspecialty-Specific Program, and Institutional Requirements in effect at the time of the review.
- Accreditation letters of notification from the most recent ACGME reviews and progress reports sent to the respective RRC.
- Previous annual program evaluations.
- Reports from previous focused or special review of the program.
- Results from internal or external Resident/Fellow and Faculty surveys.
- Evaluations of Resident/Fellow and faculty performance.
- Materials for the programs’ Clinical Competency Committee or Program Evaluation Committee.
- Any other materials the special review committee considers necessary and appropriate.

The special review panel may conduct interviews with the program director and key faculty members. If Resident/Fellows are interviewed, at least one peer-selected Resident/Fellow from each level of training in the program will be interviewed, and other individuals deemed appropriate by the panel.

Special Review Report

The special review panel shall submit a written report to the DIO and GMEC that includes, at a minimum, a description of the review process and the findings and recommendations of the panel. These shall include a description of the quality improvement goals, any corrective actions designed to address the identified concerns and the process for GMEC monitoring of outcomes. The GMEC/DIO may, at its discretion, choose to modify the special review report before accepting a final version.

Monitoring of Outcomes

The DIO/GMEC shall monitor outcomes of the special review process, including actions taken by the program and / or by the institution with special attention to areas of GMEC oversight.

FORMS/INSTRUCTIONS
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DEFINITIONS

RELATED INFORMATION

HISTORY

<Return to Cover Page>
TIGMER Policy Manual Revision History

<table>
<thead>
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<th>Date</th>
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<td>Marsha Sellner/Dr. Tom Mohr. TIGMER Board</td>
<td>2-11-16</td>
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<td>April 2016</td>
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