

UAB MEDICINE Interdisciplinary Policy

Title: <i>Observer Policy</i>		
Author: <i>Pamela Morgan</i> 4/28/22 Pamela Morgan, MSN, RN-NPD Director Ed. and Development Human Resources Date	Author: <i>Terri Johnson</i> 4/27/22 Terri Johnson, MSN RN, NE-BC Clinical Affiliation Manager UAB University Hospital Date	Distribution: UAB Hospital and Ambulatory Clinics
Approved: <i>Sarah Nafziger</i> 4/28/22 Sarah Nafziger, MD, MSHA VP Clinical Support Services Medical Director, Employee Health Date	Approved: <i>Marleigh Young</i> 4/27/22 Marleigh Young, Sr., Director Medical-Dental Staff Office Date	Pages 1 of 5 Written 05/21/07 Reviewed 3/15/22 Revised 04/27/22 Issued 05/18/22
Approved: <i>Elizabeth Turnipseed</i> 5/17/22 Elizabeth Turnipseed, MD, MSPH Chief of Medical Staff Date	Approved: <i>Julie Makosky</i> 4/27/22 Julie Makosky, AVP Human Resources Date	Discontinued:

PURPOSE: To provide guidelines to ensure compliance with this Observer Policy in UAB Medicine Clinical Facilities. This policy does not apply to 1) an individual visiting the facilities for an interview or touring the facility; or 2) students rotating at UAB Medicine clinical facilities pursuant to an Education Affiliation Agreement with the student's educational institution.

SCOPE: This policy applies to persons requesting to observe patient care activities in UAB Medicine Clinical Facilities, including UAB Hospital, UAB Hospital Highlands, UAB Hospital Emergency Department main campus and Gardendale, UAB Spain Rehabilitation Center, UAB Center for Psychiatric Medicine, UAB Hospital - Women and Infants Center, The Whitaker Clinic of UAB Hospital, The Kirklin Clinic at UAB Hospital, The Kirklin Clinic at Acton Road, UAB Health Centers, and HSF-operated clinical sites.

ASSOCIATED INFORMATION:

- A. As an academic teaching institution, UAB Medicine is frequently contacted by individuals who wish to experience learning opportunities at our facilities. These learning experiences may include any department, service, or areas in any UAB Medicine Clinical Facility. All individuals visiting UAB Medicine entities for the purpose of observation are referred to as "Observers".
- B. Non-physician Observer is an individual who is a minimum age of 14 years. Persons observing in perioperative areas and areas utilizing radiation must be 18 years of age or older. The individual may be a clinician, researcher, technician, or student who wishes to observe the services and/or operations of a UAB Medicine Clinical Facility.
- C. Observer Orientation Manual is a manual containing orientation information and documents to be reviewed and signed by the Observer prior to observing. The manual is located on the UAB ONE intranet website under [Non-Employee Guidelines](#).
- D. Physician Observers are physicians who are not members of the UAB medical staff and who come to observe clinical activities at any UAB Medicine Clinical Facility and are under the direct supervision of an Active UAB Medical Staff member.
- E. Sponsor is a UAB Medicine employee or a member of the Active Medical Staff who will provide direct supervision of, and assume responsibilities for, an Observer.
- F. Sponsor Liaison is a UAB Medicine employee who may assist the Sponsor by coordinating Observers with Employee Health, documenting approval processes, maintaining required records and other administrative duties.

POLICY:

Failure to comply with this policy may result in immediate removal from the facility and restrictions on any future requests to observe in UAB Medicine Clinical Facilities.

I. Requirements for Physician and Non-Physician Observers.

- A. Pre-Orientation Requirements from Employee Health
1. All Observers, regardless of observation length, must provide documentation the required vaccinations as defined on the Observer Checklist Form. No exemptions will be accepted. All Sponsor Liaisons should contact Employee Health a minimum of two (2) weeks prior to observing for additional instructions on requirements listed on the Observer Checklist form in the Observer Orientation Manual.
 2. Those observing for five (5) days or more must make an appointment with Employee Health and bring the required documents.
- B. Review the Observer Orientation Manual and complete the requirements as outlined on the Observer Checklist form located at the end of the manual.
1. Achieve clearance from Employee Health who will
 - a. Receive a start and end date from the Sponsor or Sponsor Liaison
 - b. Send a clearance or denial email to the Sponsor Liaison prior to the proposed start date.
 2. Complete the Observer Checklist form including all required documents.
 - a. Confidentiality Agreement
 - b. Code of Conduct
 - c. Assumption of Risk and Hold Harmless Agreement signed by parents if the individual is less than 19 years of age
 - d. Emergency Department Shadowing Agreement, if applicable.
 - e. Employee Health "Signs and Symptoms" document must be completed on the first day of observation and sent to Employee Health for their records.
 3. Complete additional HIPAA training if observing five (5) days or more.
 - a. HIPAA Training: The Sponsor Liaison shall contact the HIPAA Privacy Officer to additional HIPAA when the Observer will remain at a UAB Medicine Clinical Facility for five (5) days or more.
 - b. The HIPAA Privacy Officer must maintain documentation of the Observer's HIPAA training for six (6) years.
- II. **Requests for Approval.** All clinical and non-clinical staff who desire to sponsor an Observer must submit a written request in advance.

A. Physician Observers

1. Only Active Medical Staff Members may sponsor Physician Observers.
2. A Letter of Sponsorship shall be submitted to the Chief of the Medical Staff and Credentialing Committee of the Clinical Facility. The Letter of Sponsorship must specify the name(s), date of the planned observation, approximate time frame, purpose, and scope of activities for which the request is being made.
3. Written confirmation of the presence of Observers shall be sent to the Nurse Manager/Area Supervisor/Department Director a minimum of one working day prior to the planned date of observation.
4. The Nurse Manager, Area Supervisor, or Department Director reserves the right to veto an approved observation if the approved observation is deemed to significantly interfere with patient care or privacy.
5. Physician Observers shall not be approved if the physician:
 - a. Has current or prior knowledge of, or relationship to, the patient for which the request is made.
 - b. Does not meet Observer prerequisites and sponsorship processes.

- B. **Pre-health Observers or Research Observers from the UAB School of Medicine** must apply to observe through the school. Detailed instructions are published on the Non-Employee Guidelines webpage on ONE.
 - C. **Non-UAB School of Medicine Observers:** Services, departments, clinics, or administrative areas shall identify a UAB Medicine employee designated as a Sponsor Liaison to review and approve all Observer requests.
- III. **Sponsor and Sponsor Liaison Responsibilities for Physician and Non-Physician Observers**
- A. Services, departments, clinics, or administrative areas or sponsors may identify a Sponsor Liaison who may assist the Sponsor by coordinating Observers with Employee Health, documenting approval processes, maintaining required records and other administrative duties such as the following:
 1. Review request for Observers for their respective area/departments.
 2. ID Badge:
 - a. Ensure that each Observer displays either a student or temporary identification card (ID Badge) while on site.
 - b. An identification badge must be always visible. If visiting physicians, an ID badge from their own facility would be acceptable. When temporary badges are used the minimal information required is the:
 - i. UAB Medicine Entity name
 - ii. Observer name
 - iii. Date range for observing or shadowing
 3. Ensuring the Observer's approval for the observation experience and that the Observer completes all requirements prior to observing.
 4. Notify in writing the Area Managers, Supervisors or Directors of the approved dates and times the Observer will be in their respective areas.
 5. Escorting Observer: Except for public areas, conference rooms, private offices or designated employee breakrooms, the Sponsor or a UAB Medicine employee designated by the Sponsor must escort the Observer.
 6. Ensure that the observation period does not exceed sixty (60) days unless pre-approved by the Department, Department Chair or the Department Chair designee.
 7. Retain and file documents. The department must maintain a copy of the completed forms described on the Observer Checklist form in the Observer Orientation Manual for a minimum of two years.
 - B. The sponsor is responsible for assuring:
 1. The Observer's behavior and compliance with the provision of this or any other institutional standards or policies.
 2. The Observer abides by all relevant UAB Medicine standards of conduct, policies, and procedures while they are observing in Clinical Facilities.
 3. The Observers wears appropriate dress attire (scrubs or business attire; proper footwear—i.e., no open-toed shoes).
 4. Observer is allowed to attend conferences and lectures upon approval of the group chair, facilitator, or sponsor of the conference/lecturer.
 5. Patient Care Areas
 - a. Introduce the Observer when entering a patient's room. The patient (or patient representative) must give verbal consent before the Observer can observe activities. If consent is denied, the Observer must be escorted from the patient room/area.
 - b. UAB Medicine employees reserve the right to require the Observer to leave a patient care area if, at any time, the Observer's presence is disruptive to patient care.

IV. The Observer shall not:

- a. Perform work that should otherwise be performed by a UAB Medicine employee.
- b. Perform professional medical or clinical services that could be considered compensable work.
- c. Participate in direct patient care or provide consultation/advice related to patient care.
- d. Use a camera phone or other electronic devices, at any time, in patient care areas. Create, exchange, publish or otherwise distribute any patient information in public forums and open communication tools to third parties (for example, via Web e-mail, Instant Messaging, blog postings, chat rooms, Twitter, virtual representatives, etc.). Failure to comply is a breach of patient confidentiality and will result in immediate removal of the Observer from the clinical facilities.

V. Observers in Perioperative Areas:

- A. Reference the policy, Visitor / Observer Permission Guidelines for the Operating Room. The observer in these areas shall meet the minimum requirement of 18 years of age.
- B. The Sponsor or the Observer will request permission from the Perioperative Office. Upon approval, the Perioperative Office will notify the OR Nurse Manager (or designee) of Observer's scheduled date(s) to observe. Detailed instructions are available on the Non-Employee Guidelines webpage on ONE.

- II. **The Guidelines for Restricted Access to Hospital Laboratories Minors** in Laboratories policy will apply if the Observer will be in laboratories or animal facilities and should be reviewed by the responsible department.

REFERENCES: None			
CMS:	§482.13 TAG: A-0115	TJCH:	NA
CAMH:	HR.01.04.01; IC.01.01.01; RI.01.01.01; RI.02.01.01		
Cross-References (CR):			
<i>*Confidentiality Agreement Form (CR)</i> <i>*Enterprise Code of Conduct (CR)</i> <i>*Guidelines for Restricted Access to Hospital Laboratories Minors (CR)</i> <i>*Medical & Dental Staff Bylaws for UAB Medicine Clinical Facilities (CR)</i>	<i>*Observer Orientation Manual (CR)</i> <i>*Orientation of Students and Faculty Seeking School or Academic Credit (CR)</i> <i>*Professional Code of Conduct and Appearance (CR)</i> <i>*Risk and Hold Harmless Form (CR)</i>	<i>*UAB Code of Conduct Attestation Form (CR)</i> <i>*Visitor Permission Guidelines for the Operating Room (CR)</i>	

INTERDISCIPLINARY COLLABORATION

Sarah Nafziger, MD, MSHA, VP Clinical Support Services; Medical Director, Employee Health Physician / Medical Committees	4/28/22 Endorsement Date
Terri Poe, DNP, RN, NE-BC, Sr., AVP/CNO, UAB Hospital Committees / Councils	4/29/22 Endorsement Date
Mona Jackson, Compliance Officer, Corporate Compliance Department(s) Consulted	4/22/27 4/27/22
Employee Health – Marco Lawrence, Roseann Trimble Legal Office of Counsel, Cynthia Ransburg-Brown Risk Management – Claire Black Operating Room/ Surgical Services, Lynne Class, Rebecca Drake Nursing/Clinical Affiliations, Terri Johnson Ambulatory Services, Kimberly Payne, Kelly Williamson Laboratory, Sherry Polhill	Endorsement Date

Tracking Record

Supersedes:	Observer / Shadowing Policy, 5/7/12, 05/23/16 Physician Observer Guidelines for the Medical & Dental Staff MS# 25
File Name:	Observer Policy I#810r2
REVISIONS:	Consistent with Joint commission Standards, this policy is to be reviewed at least every 3 years and/or as practice changes.