



Cardiovascular Medicine, P.C.

# **EMPLOYEE HANDBOOK**

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## STATEMENT OF CONFIDENTIALITY- (Employer Retain)

I understand that as an employee of Cardiovascular Medicine, P.C. (the Practice), I will have access to protected health information ("PHI"), as well as confidential and proprietary information regarding the Practice, its employees, business transactions and relationships. Proprietary information and trade secrets are not to be disclosed outside of the company and must only be disclosed within the company on a need-to-know basis. I understand and acknowledge that it is my legal and ethical responsibility to protect the privacy, confidentiality and security of all confidential information relating to the Practice, its patients, and business activities, in accordance with applicable laws and Practice policy.

By signing this Confidentiality Agreement, I agree to the following terms and conditions:

\_\_\_\_\_ 1) I shall keep confidential all PHI, regardless of the format (oral, written, or electronic) and I shall use or disclose PHI only as permitted by HIPAA or other applicable federal, state, or local laws, rules or regulations. I shall also keep all proprietary information regarding the Practice, its employees, business transactions and relationships strictly confidential. I will not disclose this information to anyone inside or outside the Practice except to those who are authorized by law or Practice policy to receive such information.

\_\_\_\_\_ 2) I understand that my access to PHI may be monitored, and I will be held responsible for all attempts at access using my password regardless of who is attempting such access. Therefore, I will safeguard my password at all times and not share it with anyone for any reason. Also, I will not use another person's password to access PHI. I will not photograph, print or otherwise copy PHI, including copying PHI to electronic storage media, unless specifically authorized to do so by Practice Management or pursuant to my duties and responsibilities for the Practice.

\_\_\_\_\_ 3) I understand that I may have access to PHI beyond what I need to carry out my specific duties and responsibilities. I acknowledge that this does not authorize me to access such PHI in the absence of a legitimate need to do so. I will limit access to PHI to what is specifically necessary to carry out my specific duties and responsibilities.

\_\_\_\_\_ 4) I understand that access to PHI of Practice employees, friends and family members is subject to the same use and disclosure requirements under HIPAA. I will not access PHI of Practice employees, friends or family members beyond what is specifically necessary to carry out my duties and responsibilities.

\_\_\_\_\_ 5) In addition to patient information, employees are also expected to use the utmost discretion concerning other confidential information such as that pertaining to fellow employees or the operation of the office. An employee who has access to such information shall not share it with anyone unless required by the performance of their job duties.

\_\_\_\_\_ 6) I understand that if I should be a patient of the Practice while also being an employee of Cardiovascular Medicine, that I may not access my own record at any time. I acknowledge that access to my record may be monitored by Management for inappropriate use and disclosure. I acknowledge that I am entitled to copies of my medical record by submitting a written request to the Informatics Department.

\_\_\_\_\_ 7) I understand that posting PHI or other confidential or proprietary information about the Practice on social media is never permitted.

\_\_\_\_\_ 8) I understand that failure to comply with applicable laws on confidentiality may result in, where applicable, the **imposition of civil and/or criminal liability/fines** under Federal or State laws, pursuant to, but not limited to, HIPAA, the Federal and State Alcoholism and other Drug Dependency Acts, Abused and Neglected Child Reporting Act, Medical Patients Privacy and Confidentiality and Health Care Act, AIDS Confidentiality Act, and Mental Health and Development Disability Confidentiality Act.

\_\_\_\_\_ 9) I understand that my responsibility to maintain the confidentiality of information as described in this Confidentiality Agreement shall remain in effect even after my employment ends with Cardiovascular Medicine.

\_\_\_\_\_ 10) Violations of this agreement will result in disciplinary action, which may include discharge.

**I have read and understand the contents of this statement and I agree to comply with this Confidentiality Statement, as well as, all applicable laws and Practice policies and procedures on confidentiality and privacy.**

**Print Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**EMPLOYEE ACKNOWLEDGEMENT FORM - (Employer Retain)**

The employee handbook describes important information about employment with Cardiovascular Medicine, P.C. and I understand that I should consult my Supervisor or HR Department concerning any questions that I may have regarding these policies.

Since the information and benefits described within the policies may be subject to change, I acknowledge that revisions may occur. All such changes will be communicated to me and I understand that revised information will supersede, modify, or eliminate existing policies. This handbook replaces all previous handbooks for Cardiovascular Medicine, P.C. as of July 2019.

I understand this handbook does not act as a contract. I understand employment with Cardiovascular Medicine, P.C. is "employment-at-will".

I have reviewed the policies in this handbook and all of my questions have been answered. I understand that it is my responsibility to read and comply with these policies and any revisions made to them. I understand violations of these policies will not be tolerated.

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee's Name (printed)

## STATEMENT OF PRIVACY- (Employer Retain)

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To that end, Cardiovascular Medicine, P.C. and its Officers, Employees, and Agents will:

- Collect and use medical information only:
  - To provide proper diagnosis and treatment.
  - With the individual's knowledge and consent/authorization.
  - To receive reimbursement for services provided.
  - For research and similar purposes designed to improve the quality and to reduce the cost of health care.
  - As a basis for required report of health information.
- Not use or supply PHI for non-healthcare uses, such as, direct marketing, employment, or credit evaluation purposes, other than authorized by the Health and Human Services Privacy Regulations.
- Ensure the accuracy, timeliness, and completeness of data to allow access by authorized personnel when needed.
- Complete and authenticate medical records in accordance with the law, medical ethics, and accreditation standards.
- Maintain medical records for the legally required retention periods.
- Not alter or destroy an entry in a record. Errors will be designated as such while leaving the original entry intact. A new entry with corrected data will be created.
- Implement reasonable, cost-effective measures to protect the integrity and confidentiality of all data maintained about patients.
- Take appropriate steps when releasing PHI to prevent unauthorized re-disclosures, such as specifying that the recipient may not further disclose the information without patient consent or as authorized by law.
- Remove patient identifiers when appropriate, such as in statistical reporting and in medical research studies.
- Recognize the sensitivity of certain medical information, such as HIV/AIDS information, mental health and developmental disability information, alcohol and drug abuse information and recognize the potential harmful effects of disclosure of such information.
- Recognize that patients have a right of access to information contained in the medical record owned by Cardiovascular Medicine, P.C., and permit such access.
- Provide patients a Notice of Information Practices that details their rights, our duties, and the use and disclosure of PHI.
- Provide patients an opportunity to request correction of information they may deem to be inaccurate data in their records, in accordance with the requirements of the privacy regulations.
- Permit patients to request restriction on the use and disclosure of their PHI and to request alternate forms of communication.

I understand that all Officers, Agents and Employees of Cardiovascular Medicine, P.C. must adhere to this policy and that violations will not be tolerated. Violations of this policy are grounds for disciplinary action up to and including termination of employment and criminal or professional sanctions in accordance with the law.

I have read and understand the contents of this policy and accept my responsibilities as outlined above.



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**Employee Signature**

**Presidential Endorsement**

**Date** \_\_\_\_\_

## **STATEMENT OF CONFIDENTIALITY- (Employee Retain)**

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**Employee Signature**

**Presidential Endorsement**

**Date** \_\_\_\_\_

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## **I. INTRODUCTION**

All Employees of Cardiovascular Medicine, P.C. are expected to actively support the mission and vision of the practice.

### **MISSION STATEMENT**

**Cardiovascular Medicine, P.C. Will Provide  
Compassionate, Comprehensive, Cardiovascular Care  
To All Those In Need**

### **VISION STATEMENT**

**Cardiovascular Medicine, P.C. Will Deliver  
High Quality, Cost Effective, & Timely Cardiovascular Services  
To All Patients through  
Prevention, Diagnosis, Treatment, Education, and Research**

The policies outlined in this handbook are intended to serve as a guide to the employee. For clarification or additional information on any of the policies stated below, please consult with your immediate supervisor, Human Resources Department, or the Practice Administrator.

#### **History**

Cardiovascular Medicine, P.C. was founded in 1976 by Dr. Philip Habak. Dr. Habak's dedication to providing the highest quality of patient care quickly took hold of the community and initiated the evolution of Cardiovascular Medicine, P.C.

Within 15 years of opening its doors, CVM, P.C. moved from a single doctor practice to one of four cardiologists and experienced three relocations during that time, including a move from the Midtown Plaza to the St. Luke's (now Genesis East) campus.

Cardiovascular Medicine, P.C. continued to flourish becoming a premier choice for the prevention and treatment of heart disease. Between 1992 and 2001, 16 more cardiologists joined the Cardiovascular Medicine, P.C. team allowing for the commencement of a cholesterol management program, anticoagulation and in-house pacemaker clinics, diagnostic centers in Iowa and Illinois, satellite offices in Rock Island, Silvis and at Trinity North and several outreach sites including Geneseo, DeWitt, Kewanee, Clinton, Durant and Maquoketa.

Due to its professional growth and cardiovascular testing capabilities, Cardiovascular Medicine, P.C. again relocated to its current location, the Heart Institute on the Genesis East campus in August 2001. Since making the Heart Institute its home, Cardiovascular Medicine, P.C. continued to welcome more physicians, offer vascular services and open additional outreach sites in Galesburg, Burlington, Aledo and Monmouth.

In 2005, Cardiovascular Medicine, P.C. and the well-established Quad City Heart Center integrated resulting in the addition of six cardiologists and enhancing the efficiency and quality of its patient care and services.

To date, Cardiovascular Medicine, P.C. consists of a team of over 25 cardiologists, providing patient care out of four offices and several outreach clinics. Nurse Practitioners and Physician Assistants

have also become a vital part of the practice. Their skills and expertise have added value to Cardiovascular Medicine, P.C.'s team.

During its growth, incorporation of different cardiovascular testing, advances in technology and successful integration with Quad City Heart Center, Cardiovascular Medicine, P.C. has never lost sight of Dr. Habak's original vision of providing the highest quality of patient care. Cardiovascular Medicine, P.C. patients will always be the HEART of its practice.

## Cardiology 101

A cardiologist is a physician who specializes in cardiology, which is a medical specialty concerned with the diagnosis and treatment of heart disease. Many of the physicians at Cardiovascular Medicine, P.C. have the following individual areas of expertise within the cardiology field:

*Non-invasive Cardiologists* specialize in the diagnosis and treatment of heart disease using non-invasive modalities including nuclear stress tests and echocardiography.

*Invasive Cardiologists* perform diagnostic catheterization. If an intervention (i.e. angioplasty) is required, this physician will ask a partnering Interventionalist to perform.

*Interventional Cardiologists* perform diagnostic catheterization and intervention including angioplasty and stent placement to blocked heart vessels.

*Peripheral Interventionalist* specialize in the diagnosis and treatment of blood vessels in the legs, kidneys and neck. This may include angioplasty and stent placement in these vessels.

*Cardiac Electrophysiologist* is a cardiologist who specializes in the diagnosis and treatment of heart rhythm abnormalities. This may include the implantation of a permanent pacemaker or defibrillator.

All of the physicians at Cardiovascular Medicine, P.C. are cardiologists. Many of the physicians have developed expertise in one area of cardiology and have devoted their practice to that specific area.

Cardiologists' commitment to their profession is evidenced by their achievement of an extensive regimen of schooling. On average, cardiologists will spend 15-17 years as a "student," perfecting their skills before practicing their medicine. A cardiologist's education includes:

- *4 years of College (most commonly with a pre-med or science major)*
- *4 years of Medical School*
- *1 year Internship*
- *3 years of Internal Medicine Residency*
- *3 years of Cardiology Fellowship*
- *1-2 years of Specialty Fellowship (Electrophysiology, Coronary Intervention, Peripheral Intervention)*

Cardiologists are board-certified in one or more of the following certifications, Internal Medicine, Cardiovascular Disease, Electrophysiology, Interventional and Nuclear Cardiology.

The cardiologists at Cardiovascular Medicine, P.C. have worked very hard to attain their education, status and ability to practice. This dedication shines through in the quality patient services provided by our team of cardiologists each and every day.

#### **A. EMPLOYMENT AT-WILL**

Employment with Cardiovascular Medicine, P.C. is voluntarily entered into, and you are free to resign at will at any time, with or without cause. Similarly, Cardiovascular Medicine, P.C. may terminate the employment relationship at will at any time, with or without cause, except for reasons specifically prohibited by federal, state, and local laws. This concept is called “employment-at-will.”

Nothing in these policies should be construed as constituting a contract between Cardiovascular Medicine, P.C. and its employees. No employee of Cardiovascular Medicine, P.C. has the right to grant benefits or enter into an employment contract. Only the Board of Directors has such authority and any such grant or contract must be in writing, signed by the President of the Corporation.

This document setting forth current policies and benefits supersedes all prior policies and benefits. Any and all policies and benefits, except for its policy of employment-at-will, may be amended or cancelled at any time, at Cardiovascular Medicine, P.C.’s sole discretion without advance notice.

#### **B. EQUAL OPPORTUNITY EMPLOYER**

Cardiovascular Medicine, P.C. is an equal opportunity employer that does not discriminate on the basis of actual or perceived race, creed, color, religion, alienage or national origin, ancestry, citizenship status, age, disability or handicap, sex, marital status, veteran status, sexual orientation, genetic information, arrest record, or any other characteristic protected by applicable federal, state or local laws. Our Leadership team is dedicated to this policy with respect to recruitment, hiring, placement, promotion, transfer, training, compensation, benefits, employee activities and general treatment during employment.

Cardiovascular Medicine, P.C. will endeavor to make a reasonable accommodation to the known physical or mental limitations of qualified employees with disabilities unless the accommodation would impose an undue hardship on the operation of our business. If you need assistance to perform your job duties because of a physical or mental condition, please let the Human Resources Department know.

Cardiovascular Medicine, P.C. will endeavor to accommodate the sincere religious beliefs of its employees to the extent such accommodation does not pose an undue hardship on Cardiovascular Medicine, P.C.’s operations. If you wish to request such an accommodation, please speak to the Human Resources Department.

Any employees with questions or concerns about equal employment opportunities in the workplace are encouraged to bring these issues to the attention of the Human Resources Department. Cardiovascular Medicine, P.C. will not allow any form of retaliation against individuals who raise issues of equal employment opportunity. If an employee feels he or she has been subjected to any such retaliation, he or she should bring it to the attention of the Human Resources Department. To ensure our workplace is free of artificial barriers, violation of this policy including any improper retaliatory conduct will lead to discipline, up to and including termination. All employees must cooperate with all investigations.

## **C. ANTI-HARASSMENT**

Cardiovascular Medicine, P.C.'s EEO policy (page 6) governs overall compliance with all federal and state equal employment opportunity laws; for more information, see Cardiovascular Medicine, P.C.'s EEO policy. This policy addresses Cardiovascular Medicine, P.C.'s commitment to providing work environments free from all harassment and to the primacy of a reward system based purely on merit, intellectual excellence, and job performance. Cardiovascular Medicine, P.C. also adheres to all relevant federal and state laws and regulations regarding sexual harassment.

### **Non-Discrimination and Harassment**

Cardiovascular Medicine, P.C. makes every effort to ensure that its workplace remains free from all harassment, including sexual harassment. Cardiovascular Medicine, P.C. prohibits any form of harassment of employees or applicants with respect to hiring, promotion, discharge, compensation, benefits, training, and all other aspects of employment. Specifically, Cardiovascular Medicine, P.C. prohibits all employees, including providers, managers, and supervisors, from harassing other employees and applicants regardless of whether the incidents of harassment occur on Cardiovascular Medicine, P.C.'s premises, or occurs during work hours; Cardiovascular Medicine, P.C. also prohibits any such conduct when dealing with customers and suppliers.

### **Equal Employment Opportunity**

It is the policy of Cardiovascular Medicine, P.C. to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, religion, sex, sexual orientation, genetic information, age, disability, marital status, national origin, citizenship or any other characteristic protected by law. Cardiovascular Medicine, P.C. prohibits any such discrimination or harassment.

### **Retaliation Is Also Prohibited**

Cardiovascular Medicine, P.C. encourages reporting of all perceived incidents of discrimination or harassment. It is the policy of Cardiovascular Medicine, P.C. to investigate such reports. Cardiovascular Medicine, P.C. prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.

Harassment on the basis of any other protected characteristic is strictly prohibited. Under this policy, harassment is verbal or physical conduct that degrades or shows hostility or aversion toward an individual because of his/her race, color, religion, sex, sexual orientation, national origin, age, disability, marital status, citizenship or any other characteristic protected by law or that of his/her relatives, friends or associates, and that:

- has the purpose or effect of creating an intimidating, hostile or offensive work environment;
- has the purpose or effect of unreasonably interfering with an individual's work performance; or
- otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes, but is not limited to:

- epithets, slurs or negative stereotyping;
- threatening, intimidating or hostile acts;

- degrading jokes; and
- written or graphic material that degrades or shows hostility or aversion toward an individual or group and that is placed on walls or elsewhere on the employer's premises or circulated in the workplace.

## **SEXUAL HARASSMENT POLICY**

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### **1. General Nondiscrimination Commitment**

Cardiovascular Medicine, P.C. makes every effort to ensure that its workplace remains free from all harassment. Cardiovascular Medicine, P.C. prohibits any form of sexual harassment of employees or applicants with respect to hiring, promotion, discharge, compensation, benefits, training, and all other aspects of employment. Specifically, Cardiovascular Medicine, P.C. prohibits all employees, including managers, supervisors and providers, from sexually harassing other employees and applicants regardless of whether the incidents of harassment occur on Cardiovascular Medicine, P.C. premises, or occur during work hours; Cardiovascular Medicine, P.C. also prohibits any such conduct when dealing with customers and suppliers.

### **2. Sexual Harassment Defined**

Sexual harassment is unwanted verbal or physical sexual attention that directly or indirectly impacts employees' or applicants' employment, unreasonably interferes with employees' job performance, or creates an intimidating, hostile or offensive work environment. It also can occur to anyone else affected by such conduct.

While sexual harassment encompasses a wide range of conduct, some examples of specifically prohibited conduct include:

- Directly or indirectly promising an employee a reward based on compliance with a sexually-oriented request;
- Directly or indirectly threatening to retaliate against an employee if the employee refuses to comply with the sexually-oriented request;
- Directly or indirectly denying an employee or applicant an employment-related opportunity if the employee or applicant refuses to comply with a sexually-oriented request;
- Engaging in sexually suggestive physical contact or touching another employee or applicant in a way that is unwelcome;
- Displaying, strong, or transmitting pornographic or sexually-oriented materials using Cardiovascular Medicine, P.C.'s equipment or facilities;
- Engaging in indecent exposure; or
- Making sexual or romantic advances toward an employee and persisting despite the employee's rejection of the advances.

Sexual harassment can involve males or females being harassed by members of either sex. Although sexual harassment can involve a person in a greater position of authority as the harasser, persons in positions of lesser or equal authority also can be found responsible for engaging in prohibited harassment.

Sexual harassment can be physical and psychological in nature. An aggregation of series of incidents can constitute sexual harassment even if one of the incidents considered on its own would not be harassing.

### 3. Complaint Procedures

If employees believe they have been subject to sexual harassment or any unwanted sexual attention, they should immediately contact their direct supervisor or the Human Resources department, or any other member of leadership with whom they feel comfortable bringing such a complaint. All complaints are promptly investigated. Cooperation is expected with investigations. Information obtained during investigations is confidential, and only discussed to those who have a need for the information.

### **Individuals and Conduct Covered**

These policies apply to all conduct with employees, whether related to conduct engaged in with fellow employees or someone not directly connected to Cardiovascular Medicine, P.C. (e.g., an outside vendor, consultant or customer). Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business-related social events.

### **Discipline**

If not otherwise provided in this policy, employees, including managers, supervisors, and providers, who violate Cardiovascular Medicine, P.C.'s harassment policies are subject to discipline, up to and including termination, according to Cardiovascular Medicine, P.C.'s EEO policy. Employee violations of Cardiovascular Medicine, P.C.'s harassment policies also can constitute violations of other relevant Cardiovascular Medicine, P.C. policies.

### **Training**

Cardiovascular Medicine, P.C. requires all new employee, including managers and supervisors, to undergo training on complying with Cardiovascular Medicine, P.C.'s sexual harassment policy. Training on Cardiovascular Medicine, P.C.'s sexual harassment policy thereafter is provided for all employees, including managers, supervisors, and providers, annually.

### **Consensual Relationships**

#### **1. General**

Cardiovascular Medicine, P.C. recognizes its responsibility to provide employee guidelines on romantic and sexual relationships with other employees and to caution them about the potential problems posed by such relationships. These problems include conflicts of interest, interference with the productivity of co-workers, and possible charges of sexual harassment. They can be particularly serious in situations in which one person holds a position of authority over the other, such as in a supervisory-subordinate relationship.

This policy applies only to consensual romantic or sexual relationships. Unwanted sexual attention (including physical contact) and sexually oriented behavior whose purpose or effect is to create an

offensive environment is strictly prohibited. For more information, see Cardiovascular Medicine, P.C.'s sexual harassment policy.

## **2. Restrictions on Employee Conduct**

Cardiovascular Medicine, P.C. does not prohibit consensual romantic relationships between employees, but it does impose the following restrictions:

- Cardiovascular Medicine, P.C. strongly discourages supervisors and managers engaging in romantic or sexual relationships with subordinates and requires such staff members to disclose the existence of such a relationship. Supervisors and managers must take steps to resolve any actual or potential conflict of interest or impropriety created by the relationship.
- All employees must avoid romantic or sexual relationships with other employees that create conflicts of interest, potential charges of sexual harassment, or distractions that interfere with other employees' productivity.

## **3. General Provisions**

The restrictions on romantic relationships apply regardless of the employees' sexual orientation, and this policy applies equally to opposite-sex and same-sex relationships. Cardiovascular Medicine, P.C. implements its policies in a nondiscriminatory manner and takes steps to avoid disparate impact on either sex.

This policy is not intended to discourage friendship between co-workers or between supervisory and nonsupervisory personnel.

The terms *dating and romantic relationship*, as used in this policy, include casual dating, serious dating, casual sexual involvement where the parties have no intention of carrying on a long-term relationship, cohabitation, and any other conduct or behavior normally associated with romantic or sexual relationships.

## **4. Nonsupervisory Employees**

Romantic relationships between nonsupervisory co-workers must be disclosed by one or both persons involved to their department supervisors, who must mitigate any potential consequences of the involvement, consider its impact on the persons involved, and review any effects on Cardiovascular Medicine, P.C. as a whole. The department supervisor can make recommendations for remedies, which include:

- Requiring that the employees work on different shifts;
- Transferring one employee to another department;
- Assigning one of the employees to another facility; or
- Requiring the dating couple to decide which partner will resign (which Cardiovascular Medicine, P.C. normally seeks to avoid, if possible).

## **5. Supervisory Employees**

Romantic relationships between supervisors and nonsupervisory employees must be disclosed by the supervisor to the Practice Administrator, or to the next highest individual in the supervisory chain of command if the Practice Administrator is not the next highest individual. The Practice Administrator,

or the higher official must assess the situation and make a recommendation to resolve any actual or potential conflict of interest or impropriety. If possible, the Practice Administrator must transfer one of the parties to another department or facility. If a transfer to another facility is possible, the supervisor-partner is prohibited from having any involvement in decision-making that affects the partner who transfers. If such a transfer is not possible, the dating couple must decide which partner will resign.

## **6. Failure to Comply**

Failure to make required disclosures or comply with a recommendation to resolve a conflict with this policy can result in discipline, up to, and including, termination.

## **Reporting an Incident of Harassment, Discrimination or Retaliation**

If employees believe they have been subject to sexual harassment or any unwanted sexual attention, they should immediately contact their immediate supervisor or Human Resources Department, or any other member of the Leadership team with whom you feel comfortable bringing such a complaint. All complaints are promptly investigated. Cooperation is expected with investigations. Information obtained during investigations is confidential and only disclosed to those who have a need for the information.

## **D. REASONABLE ACCOMMODATION**

### **Reasonable Accommodations for Disabilities Policy**

In all hiring and employment practices, Cardiovascular Medicine, P.C. makes every effort to ensure that it does not discriminate against employees and applicants with disabilities who are qualified for job positions, and that it provides reasonable accommodations to employees and applicants with disabilities, unless the accommodations create an undue hardship for Cardiovascular Medicine, P.C.

#### **1. Nondiscrimination Commitment**

Cardiovascular Medicine, P.C. prohibits discrimination with respect to hiring, promotion, discharge, compensation, benefits, training, and all other aspects of employment against employees or applicants with disabilities who are qualified for job positions.

#### **2. Definitions**

Terms used in this policy have the following general meanings: Employees or applicants with disabilities who are qualified for job positions, are employees or applicants who satisfy job related requirements they hold or are seeking, and can perform the essential functions of such a job with or without reasonable accommodation. Employees or applicants with disabilities are those: whose physical or mental impairments substantially limit one or more of their major life activities (for example, walking or seeing); who have a record of such impairments; or who are regarded as having such impairments. Reasonable accommodations are modifications to applicants' or employees' work environment or schedule that allow them to perform the essential functions of the job they seek, or hold unless the accommodations create undue hardship for Cardiovascular Medicine, P.C.

#### **3. Reasonable Accommodation**

Cardiovascular Medicine, P.C. seeks reasonable accommodations for employees and applicants with disabilities that do not result in undue hardship for Cardiovascular Medicine, P.C. Such accommodations can include: altering equipment, altering facilities, providing a qualified reader, or

providing information orally. Additionally, in purchasing equipment or making changes to its facilities, Cardiovascular Medicine, P.C. strives to ensure that the adaptability and accessibility of equipment and facilities for employees, and applicants with disabilities are key considerations.

#### **4. Essential Job Functions**

For each position in every department, the department supervisor must identify the essential functions of the position, and prepare a job description that lists the essential functions. The Human Resources Department is responsible for keeping these job descriptions up-to-date and accessible.

#### **5. Safety Issues**

All employees must comply with safety rules at all times. Cardiovascular Medicine, P.C. makes every effort to place employees and applicants in positions for which they are qualified. However, employees and applicants are not placed in positions where, with or without a reasonable accommodation, they would create a direct threat to the safety or health of themselves or others.

#### **6. Confidentiality of Medical Information**

All information obtained by Cardiovascular Medicine, P.C. concerning the medical condition or history of applicants or employees, is maintained in separate medical files, and treated as confidential records that are disclosed only as according to the Americans with Disabilities Act, and other applicable state and federal law.

#### **7. Complaint Procedures**

Employees and applicants should immediately contact their immediate supervisor, Human Resources Department, or any other member of the Leadership team with whom you feel comfortable bringing such a complaint regarding any violations of Cardiovascular Medicine, P.C.'s policies, or any applicable law relating to accommodating disabilities. All complaints are promptly investigated. Cooperation is expected with investigations. Information obtained during investigations is confidential, and only disclosed to those who have a need for the information.

#### **Reasonable Accommodations for Religious Observances and Practices**

In all hiring and employment practices, Cardiovascular Medicine, P.C. makes every effort to ensure that it does not discriminate against employees and applicants based on religious beliefs, observances and practices, and that it provides reasonable accommodations to employees and applicants for such beliefs, observances and practices unless the accommodations create undue hardship for Cardiovascular Medicine, P.C.

##### **1. Nondiscrimination Pledge**

Cardiovascular Medicine, P.C. prohibits discrimination with respect to hiring, promotion, discharge, compensation, benefits training and all other aspects of employment against employees or applicants based on religious beliefs, observances, and practices.

##### **2. Religious Conflict Identification**

When employees' religious beliefs interfere with their work schedule, task assignment, dress code or other work-related matters, they should immediately contact immediate supervisor or department

lead, Human Resources Department, or any other member of the Leadership team with whom they feel comfortable bringing such a complaint to discuss reasonable accommodations.

### **3. Reasonable Accommodation**

Cardiovascular Medicine, P.C. seeks reasonable accommodations for employees' and applicants' sincerely held religious beliefs, observances and practices that do not result in undue hardship for Cardiovascular Medicine, P.C. Such accommodations can include: using paid or unpaid leave; swapping shifts with other employees; adjusting work schedules; or transferring to lateral positions.

### **4. Coordination with Other Policies**

Where possible, Cardiovascular Medicine, P.C. endeavors to use the other policies such as its leave policies and job-sharing program to accommodate employees' religious beliefs, observances and practices.

### **5. Complaint Procedures**

Employees and applicants should immediately contact their direct supervisor or Human Resources Department regarding any violations of Cardiovascular Medicine, P.C.'s policies, or any applicable law relating to accommodating religious beliefs, observances and practices. All complaints are promptly investigated. Cooperation is expected with investigations. Information obtained during investigations is confidential and only disclosed to those who have a need for the information.

### **Pregnancy Accommodations**

In compliance with Illinois law, Cardiovascular Medicine, P.C. will not discriminate against an employee because of pregnancy; will engage in a timely, good faith, and meaningful exchange with employees affected by pregnancy, childbirth or related conditions; and will endeavor to provide a reasonable accommodation, unless doing so will impose an undue hardship on the ordinary operation of Cardiovascular Medicine, P.C. business.

Such accommodations include modifications or adjustments to the work environment or circumstances under which the employee's position is customarily performed, including, but not limited to, more frequent or longer bathroom breaks, water intake, or rest breaks; private non-bathroom space for expressing breastmilk and breastfeeding; seating accommodations or acquisition or modification of equipment; assistance with manual labor, light duty, or a temporary transfer to a less strenuous, or non-hazardous position; job restructuring or a part-time/modified work schedule; appropriate adjustment or modifications of examinations or training materials; assignment to a vacant position; or providing leave.

An employee will not be required to accept an accommodation that she did not request or to which she did not agree, nor will an employee be forced to take leave if another reasonable accommodation is available.

The employee may be required to provide certification from the employee's health care provider concerning her need for a reasonable accommodation, this is to the same extent such a certification is required for other conditions related to a disability. A certification should include:

- Medical justification for the requested accommodation(s);
- A description of the reasonable accommodation(s) medically advisable;
- The date the accommodation(s) became advisable; and
- The probable duration of the reasonable accommodation(s).

Cardiovascular Medicine, P.C. will not deny employment opportunities or take adverse employment action against employees if such decision is based on Cardiovascular Medicine, P.C.'s need to make a reasonable accommodation, and will not retaliate against an employee who requests an accommodation or otherwise exercises her rights under the Illinois Human Rights Act.

The Illinois Human Rights Act is enforced by the Illinois Department of Human Rights (IDHR). The charge process for violations of the law can be initiated by contacting the IDHR at any of the offices shown below, or by completing the form at <http://www.illinois.gov/dhr>.

<u><a href="#">Chicago Office</a></u>	<u><a href="#">Springfield Office</a></u>	<u><a href="#">Marion Office</a></u>
<u><a href="#">100 W Randolph St.</a></u>	<u><a href="#">222 South College</a></u>	<u><a href="#">2309 West Main St.</a></u>
<u><a href="#">10<sup>th</sup> Floor</a></u>	<u><a href="#">Room 101-A</a></u>	<u><a href="#">Suite 112</a></u>
<u><a href="#">Intake Unit</a></u>	<u><a href="#">Intake Unit</a></u>	<u><a href="#">Intake Unit</a></u>
<u><a href="#">Chicago, IL. 60601</a></u>	<u><a href="#">Springfield, IL 62704</a></u>	<u><a href="#">Marion, IL 62959</a></u>
<u><a href="#">312-814-6200</a></u>	<u><a href="#">217-785-100</a></u>	

Employees with questions or concerns regarding this policy or who would like to request an accommodation should contact the Human Resources Department.

## **Complaint Procedure**

### **Informal Procedure**

If for any reason you do not wish to address the offender directly, or if such action does not successfully end the offensive conduct, you should notify your immediate supervisor, Human Resources Department, or the Practice Administrator, who may, if the individual so requests, talk to the alleged offender on the individual's behalf.

If you report harassment, discrimination or retaliation, you should be aware; however, that Cardiovascular Medicine, P.C. may decide it is necessary to take action to address such conduct beyond an informal discussion. This decision will be discussed with the individual. The best course of action in any case will depend on many factors and, therefore, the informal procedure will remain flexible and may start the process at the formal level.

### **Formal Procedure**

As noted above, if you believe you have been the victim of conduct prohibited by this policy statement or believe you have witnessed such conduct, you should immediately discuss your concerns with your immediate supervisor, Human Resources Department, Administrative staff, or the Practice Administrator. Cardiovascular Medicine, P.C. encourages the prompt reporting of complaints or concerns so that rapid and constructive action can be taken before relationships become irreparably strained.

Any reported allegations of harassment, discrimination or retaliation will be investigated as soon as reasonably possible. The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

These matters will be dealt with in the most confidential manner to protect the best interest of all parties. Cardiovascular Medicine, P.C. will take every measure to this procedure confidential, however, this cannot be guaranteed in every situation. Cardiovascular Medicine, P.C. asks all employees to respect the privacy of those involved during the investigation.

In the event of harassment or retaliation against the person filing the complaint or the alleged offending party, the employee responsible for the harassment or retaliation will be subject to disciplinary action up to and including termination.

## **Conclusion**

Cardiovascular Medicine, P.C. has developed this policy to ensure that all its employees can work in an environment free from harassment, discrimination and retaliation. Cardiovascular Medicine, P.C. will make every reasonable effort to ensure that all concerned are familiar with these policies and aware that any complaint in violation of such policies will be investigated and resolved appropriately.

If you have any questions or concerns about these policies, you should talk with your immediate supervisor, Human Resources Department, or the Practice Administrator.

## **II. EMPLOYMENT**

### **A. EMPLOYEE STATUS**

#### **1. FAIR LABOR STANDARDS ACT (FLSA) CLASSIFICATIONS**

**EXEMPT** – The Fair Labor Standards Act requires that certain positions be classified as exempt due to the nature of the work performed. Exempt employees are paid on a salary and/or commission basis and do not receive overtime pay.

**NON-EXEMPT** – Employees working in positions classified as non-exempt by the Fair Labor Standards Act are entitled to overtime pay at the rate of one and a half times their regular rate for all hours worked over 40 hours in a single workweek. Non-exempt employees may be employees that are paid on an hourly or salaried basis and subject to overtime provisions.

See your immediate supervisor or the Practice Administrator for any questions concerning your classification.

#### **2. CARDIOVASCULAR MEDICINE, P.C. CLASSIFICATIONS**

Notwithstanding the FLSA classifications, Cardiovascular Medicine, P.C. further classifies its employees as follows:

**Salaried:** Executive, administrative, professional employee, or a non-provider who is exempt from Fair Labor Standards Act (FLSA) requirements.

**Full-time:** Hourly employees regularly scheduled to work at least 37-1/2 hrs/wk for twelve months per year. To maintain a full-time status, employees should have paid leave accrued to supplement shortfalls in their scheduled workweek. Failure to do so may result in a loss of full-time status and accompanying benefits.

**Scheduled Part-time:** Hourly employees maintaining a consistent scheduled workweek consisting of less than 37-1/2 hrs/wk for twelve months per year. To maintain a scheduled part-time status, employees should have paid leave accrued to supplement shortfalls in their scheduled workweek.

Failure to do so may result in a change of employee status. Part-time employees are eligible for all benefits required by State and Federal law.

***Flexible Part-time:*** Hourly employees maintaining a flexible workweek consisting of less than 30 hrs/wk averaged for twelve months per year. To maintain a flexible part-time status, employees need to work the hours expected. Employees in this status are not eligible for the paid leave benefit program.

***Occasional:*** Hourly employees with flexible hours and work when needed. Employees in this status are not eligible for the paid leave benefit program. To maintain an occasional status an employee must work a minimum of 192 hours per year. To qualify for performance reviews an employee must work a minimum of 288 hours per year.

***Advanced Practice Providers:*** Physician's Assistant/Nurse Practitioner working specifically with/for an individual physician(s) or division. These employees may be either full or part-time. May be exempt from various office-based policies.

***Temporary/Seasonal:*** Hourly employees committed/available to work for short periods of time depending on availability of hours. This status is exempt from pay increases and all benefits with no guaranteed routine review.

## **B. PROFESSIONAL LICENSE/REGISTRATION**

All credentialed, registered, certified or licensed professionals employed at Cardiovascular Medicine, P.C. are required to maintain their professional license and registration certification as required per job description. New employees requiring credentials for their position, may be given limited time to pass required testing; or confirm submission of proper documents to obtain credentials. New employees requiring dual state licenses will be given 60 days to confirm the submission of required dual licenses or certification applications. Nurses without the license to operate in the state of employment will be required to apply for a temporary license prior to hire. Failure to submit applications timely, or maintain appropriate licensure or certification may be grounds for disciplinary action up to and including termination. Cardiovascular Medicine, P.C. will remain compliant with Federal, State, Industry, and Insurance regulations which may modify position requirements and/or job descriptions.

Proof of licensure/certification must be provided to the supervisor for the employee's personnel file, annually or upon request.

## **C. OUTSIDE OCCUPATIONS**

Employees may engage in other employment provided it does not interfere with the duties of his or her job description as a Cardiovascular Medicine, P.C. employee, impair the ability of the employee to perform the duties, or represent a conflict of interest. Outside employment will not be considered an excuse for poor performance, absenteeism, tardiness, or refusal to work overtime. Should the outside employment cause or contribute to any of these situations, the employee may be asked to make a decision as to which position he/she wishes to maintain, and it may result in disciplinary action, up to and including termination. Employee must advise supervisor in writing that he or she has or wants a second job.

## **D. TIME KEEPING**

Employees paid at an hourly rate are required to utilize the Cardiovascular Medicine, P.C. electronic time-keeping system to record hours worked. Cardiovascular Medicine, P.C. requires the same for Exempt employees for the purpose of benefit administration.

Employees are to clock in at the beginning of their assigned work schedule, in and out for lunch if applicable, and clock out at the end of their assigned work schedule, and when leaving the worksite for personal reasons upon approval. Employees should be clocked in when performing job functions.

Cardiovascular Medicine, P.C. time-keeping system computes time worked to the nearest quarter hour. This includes regular hours and overtime hours worked. The following table illustrates how actual minutes are converted to the nearest quarter hour for time-keeping purposes.

<u>Actual minutes worked</u>	<u>Nearest quarter hour</u>
1-7.99 min.	none.
8-22.99 min.	1/4 hr.
23-37.99 min.	1/2 hr.
38-52.99 min.	3/4 hr.
53-59.99 min.	1 hr.

This table applies to payroll calculation only and in no way modifies the requirement for punctuality and the adherence to the assigned work schedule. Employees should be certain that they understand when their assigned day is to start and when it is to finish.

If an error is made in clocking, it must be brought to the attention of the supervisor within one business day. Failure to clock in or out, or clock for another employee, will not be tolerated and may be grounds for disciplinary action, up to and including termination.

### **Fair Labor Standards Act (FLSA)**

It is Cardiovascular Medicine, P.C.'s policy to comply with the salary basis requirements of the FLSA. Therefore, Cardiovascular Medicine, P.C. prohibits all managers/supervisors from making any improper deductions from the salaries of exempt employees. Cardiovascular Medicine, P.C. wants its employees to be aware of this policy and that Cardiovascular Medicine, P.C. does not allow deductions that violate the FLSA.

Compensation may be adjusted for certain types of deductions such as, health, dental, or other insurance premiums; state, federal, or local taxes; social security, voluntary contributions to a 401(k) or pension plan, cell phone, uniform payments, or any other agreed upon adjustments between the employee and Cardiovascular Medicine, P.C.

If an employee believes an improper deduction has been made to his/her salary, he/she should immediately report this information to his/her direct supervisor or to the Practice Administrator.

Reports of improper deductions will be promptly investigated. If it is determined that an improper deduction has occurred, the employee will be promptly reimbursed for any improper deduction made.

### **E. ATTENDANCE AND/OR TARDINESS**

Cardiovascular Medicine, P. C., expects that all employees will report for work punctually and regularly as scheduled. While Cardiovascular Medicine, P.C. recognizes that circumstances may arise that prevent employees from reporting on time when scheduled for work, excessive tardiness and absenteeism have a negative impact on employee morale and Cardiovascular Medicine, P. C.'s ability to provide the highest quality of patient care services. Excessive absenteeism or tardiness,

either excused or unexcused, is not acceptable. Regular attendance on the job is imperative to the performance of each employee. Failure to report to work may be grounds for termination.

**Time Off Definitions:**

- Sick Occurrence: 24 hours or less notification for time off
- Personal Occurrence: more than 24 hours notification but less than 2 weeks notification for time off
- Vacation Occurrence: 2 weeks or more notification for time off

Unplanned time off - defined as sick time – in general, is expected to be less than 48 hours during the employee anniversary period.

When an employee must be absent due to unanticipated illness or other emergency (except those absences with prior approval), **the employee** is expected to communicate with his/her supervisor at least one hour before their scheduled starting time. Employees are expected to speak with the department lead, if unable to reach their own supervisor. Employees are to receive a response from the supervisor or lead indicating the understanding of the employee's need to take a sick day. In the event circumstances require that someone other than the employee must call, the employee should contact their supervisor as soon as practical. Employees are also expected to notify their supervisor by 4:00 pm on each day of absence, of their expected ability to return to work the following day. Failure to properly notify the employee's supervisor/lead will cause the absence to be counted as an unexcused absence. If an absence for illness extends three consecutive working days, a release to work form from a healthcare provider is needed to return to work.

Special situations related to attendance and punctuality may arise and require individual consideration e.g. pattern absenteeism. Examples of pattern absenteeism include:

- a pattern of being absent before or after days off, holidays, or other authorized absences
- a pattern of being absent on the same day of the week or following a payday
- a pattern of being absent when assigned certain duties or shifts

Employees who evidence pattern absenteeism may be subject to disciplinary action, up to and including termination.

In the event of an Act of God (tornado, hail storm, power outage, etc.) or inclement weather, employees must use their own discretion to determine if travel to or from work during these conditions is too dangerous. In these situations, if the Practice is open for business and the employee decides to not report for work, the employee must notify their supervisor according to Cardiovascular Medicine, P.C. guidelines and will be required to use available earned time to cover their absence. See Earned Time Policy on page 33 for further clarification.

Employees are expected to report for work with the proper equipment to perform their job-related duties, wear approved workplace attire, have personal grooming completed, personal items stored away properly, nourishments consumed, and in a mental and physical condition fit to perform their work-related duties. Employees are to be at their workstations at their regular scheduled starting time. Employees are expected to be engaged in performing their job-related duties during all scheduled work time.

All deviations from the employees assigned work hours must be communicated to and approved by the appropriate supervisor in a timely fashion. Failure to do so may result in disciplinary action.

It will be considered a voluntary resignation for employees failing to report to work without prior notice to supervisory staff for three consecutive workdays.

Employees have the opportunity to accrue paid leave to cover all absences. It is expected that employees will not take time off without adequate Paid Leave (earned time). Exceptions may be made to accommodate Federal and State laws. Failure to do so may result in disciplinary action, up to and including termination.

Tardiness will be handled as follows:

1. Tardies will be determined to be excused or unexcused at the discretion of the supervisor. Determining factors include, but are not limited to, frequency and rationale.
2. An unexcused tardy in any week may result in the employee being ineligible for accrual of earned time for that week.
3. Tardiness is defined as any time clock entry 1 minute after the assigned start time.

Cardiovascular Medicine, P.C. reserves the right to completely forego the penalty system of the Tardiness Policy. This policy is not intended to alter at-will nature of employees' employment, and employees can be terminated at any time, with or without cause.

## **F. MEAL PERIODS/BREAKS**

Employee unpaid meal periods will be determined by the supervisor in accordance with state and federal regulations. Unpaid meal periods should be taken at the specified times unless otherwise requested by the supervisor. As employees are "off the clock" during unpaid meal periods, they are free to leave the premises. Employees choosing to stay on-site will eat in the designated break room. Breaks may be taken with the approval of the supervisor. During breaks staff remain "on the clock," need to be accessible, and may not leave the Cardiovascular Medicine, P.C. suite/building.

Consumption of food in work areas needs to be limited, and follow the standards of a professional work environment.

## **G. TRAVEL**

Based on job responsibilities, certain employees may be authorized to travel on company business to perform the duties of a position. In the event of travel, employees must have a valid driver's license and must provide their own vehicle for transportation with appropriate insurance coverage. It is the employees' responsibility to notify Cardiovascular Medicine, P.C. with any changes in driving status. While traveling on company business, authorized employees must adhere to all traffic, state and local laws and regulations at all times, including but not limited to, prohibition of drug and alcohol use, inappropriate use of cell phones, and speeding. Cardiovascular Medicine, P.C. may reimburse employees for mileage at the current IRS business mileage reimbursement rate to compensate employees for the automobile costs including fuel, insurance, and maintenance. Reimbursements are allowed for the following types of local travel: from one workplace to another; to a business associate; or to an approved business meeting/conference. Actual travel time will be paid at the employee's base pay rate during normal business hours. Any time spent on personal business including lunches while traveling will be unpaid. It is the employee's responsibility to submit proper mileage documentation and justification to supervisor in a timely manner.

### **1. Coverage and General Guidelines**

Full-time, part-time, and hourly employees who incur authorized business or travel expenses are paid or reimbursed in accordance with this policy. Employees who have business expenses must receive prior approval before purchases are made.

Employees must obtain prior approval for all business and travel expenses from their Supervisor. Employees who do not obtain such prior approval are reimbursed at Cardiovascular Medicine, P.C.'s discretion. Employees who submit false or intentionally misleading information in connection with business and travel expenses, are subject to discipline, up to and including termination.

## **2. Documentation**

Employees must submit acceptable documentation with their expense reports to substantiate all business and travel expenses.

Acceptable documentation is business and travel expense amounts, dates, and locations where expenses are incurred, and expenses are for the purpose of business. Examples of acceptable documentation include original invoices, photocopies, excel spreadsheets for mileage, and receipts issued by vendors.

Employees who incur approved business or travel expenses must complete Cardiovascular Medicine, P.C.'s approved forms by the 15<sup>th</sup> of the month following the end of a quarter, or a previously determined date correlating with the end of a year, in order to receive reimbursement. Employees must identify each business and travel expense separately. Employees must submit completed forms, and required acceptable documentation to their direct supervisor for approval.

## **H. DISCIPLINE**

Discipline may be administered as a verbal warning, a written warning or a termination. Cardiovascular Medicine, P.C. may start any discipline at any level and may discharge any employee with or without cause.

## **I. RESIGNATION / RETIREMENT**

Formal letters of retirement with a minimum of 90 days notice are requested for all non-exempt employees. Exempt employees are expected to provide a minimum of 6 months notice.

Formal letters of resignation with two weeks notice, which is considered proper notice for Cardiovascular Medicine, P.C., are requested, however, notice greater than 2 weeks is encouraged for all non-exempt employees. Exempt employees are expected to provide a minimum of one (1) month notice. Proper notices are requested by the resigning employee to assist in the transition of projects, duties, etc. for current and future coworkers.

Employees resigning with proper notice and fulfilling all scheduled hours and those with extenuating circumstances limiting their ability to work/give full notice, will be paid accrued earned time at full value. Employees that do not provide proper notice and/or who do not work their notice period will be paid accrued earned time at half value.

As a result, if Cardiovascular Medicine, P.C. withholds the earned time for a portion of the notice period because of the failure to work the scheduled hours, those earned time hours will not be on the employee's final check.

## **J. MILITARY/NATIONAL GUARD DUTY**

If employees are called into active military service, or enlist in the uniformed services, they will be eligible to receive an unpaid military leave of absence. To be eligible for military leave, employees must provide management with advance notice of service obligations, unless they are prevented from providing such notice by military necessity, or it is otherwise impossible or unreasonable to provide such notice. Provided the absence does not exceed applicable statutory limitation, employees will retain reemployment rights and accrue seniority and benefits in accordance with applicable federal and state laws. Employees should ask management for further information about eligibility for Military Leave.

If employees are required to attend yearly Reserves or National Guard duty, they can apply for an unpaid temporary military leave of absence, not to exceed the number of days allowed by law (including travel). They should give management as much advance notice of their need for military leave as possible, so that we can maintain proper coverage while employees are away.

## **K. WORK REDUCTION**

Cardiovascular Medicine, P.C. is committed to the delivery of high quality, cost effective and timely cardiovascular services. In an effort to retain employees during low work volumes, Cardiovascular Medicine, P.C. reserves the right to request a temporary or permanent reduction in employees work schedules.

Temporary work reductions will be handled as follows:

- 1) Employees will be required to use accrued earned time available to cover absences.
- 2) Employees will continue to accrue earned time during the absence in accordance with the earned time policy.
- 3) Employees will not be disciplined if earned time is unavailable to cover the absences. However, a record of conversation will take place with the employee to track the occurrence.
- 4) Employees will not be paid if earned time is unavailable to cover absences.
- 5) Employees will be responsible to make timely health and dental premiums if there are insufficient earnings to cover their portion of the payment(s).
- 6) If temporary work reductions extend past eight consecutive weeks, the full-time or part-time employee status may be evaluated for a permanent reduction in hours.

## **III. ETHICS AND CONDUCT**

Cardiovascular Medicine, P. C. is guided by core values of trust, honesty, and integrity. Conduct should be consistent with Cardiovascular Medicine, P.C.'s commitment to provide the highest level of quality patient care and a professional work environment for all employees. Cardiovascular Medicine, P.C. will not tolerate acts of unprofessional, unethical or illegal behavior in the workplace. Cardiovascular Medicine, P.C. expects its employees to actively support the mission and vision of Cardiovascular Medicine, P.C., and practice the following Standards of Behavior. **Breach of this policy will not be tolerated and may result in disciplinary action, up to and including termination.**

### **Cardiovascular Medicine, P.C. Standards of Behavior**

#### Respect

Treat customers (patients, family members, visitors, and referring offices) with the utmost respect, dignity, courtesy, and confidentiality. It is essential to be tactful at all times and show initiative to serve the customer.

- Display kindness and offer help
- Listen thoughtfully, empathetically, and respond appropriately
- Respect guests' values, privacy, environment and confidentiality. Never discuss patients and their care in public areas such as hallways, elevators, etc.
- Recognize and respect differing cultures, viewpoints, and beliefs
- Refrain from personal conversations among employees within earshot of our guests

Treat colleagues as professionals deserving courtesy, honesty and respect. Teamwork and cooperation are essential.

- Be professional, courteous, honest and thoughtful in your interactions
- Assume only the best and speak positively about others
- Recognize and support the skills of individuals as well as team member's work
- Offer assistance whenever possible, be a team player and welcome newcomers
- Show initiative to willingly accept additional responsibilities whenever possible
- Support organizational and departmental changes

### Communication

Listen attentively to customers in order to fully understand their needs.

- Smile and maintain eye contact
- Introduce self and your role in the patient's care
- Use guest's names when appropriate
- Listen and respond to both verbal and non-verbal messages
- Escort a guest to their destination when appropriate
- Use appropriate terms that can be understood
- Invite and answer questions timely

Use telephone etiquette

- Answer with a "smile" in your voice
- Ask callers permission to place them on hold
- Thank the caller for holding
- End all calls politely and offer additional assistance
- Respond to voicemail messages in a timely manner

## **A. CONFIDENTIALITY**

All Cardiovascular Medicine, P.C. activities are to remain confidential. Patients, staff, physicians, and the corporation have a legal right to privacy. Proprietary information and trade secrets are not to be disclosed outside of the company and must only be disclosed within the company on a need-to-know basis or with prior written authorization.

Each employee must sign a Statement of Confidentiality and a Statement of Privacy in compliance with State and Federal Regulations including the Health Insurance Portability and Accountability Act of 1996. **Breach of confidentiality will not be tolerated and may result in disciplinary action, up to and including termination.**

## **B. EMPLOYEE VISITORS**

While it may be a pleasant surprise to see an acquaintance or family member while at work, it is important to maintain a high level of professionalism within the office. Employees are expected to

keep personal visits to a minimum, and friends and relatives should be discouraged from coming to Cardiovascular Medicine to visit an employee during working hours. For safety reasons, employees should not bring children into the work environment. In addition, children may be disruptive to co-workers and patients. Employees are expected to have back-up childcare in the event of illness, school closings, etc. Visitors to Cardiovascular Medicine employees (including former employees, employees who are not currently working, and family members of employees) are not permitted in work areas. Visitors should always be accompanied by a Cardiovascular Medicine, P.C. employee unless in the patient waiting areas or public restrooms. All visitors to Cardiovascular Medicine, P.C. are required to adhere to the Cardiovascular Medicine Visitor Policy for checking in at the reception desk and wearing a guest badge.

### **C. WORKPLACE VIOLENCE**

Cardiovascular Medicine, P. C. does not tolerate acts of workplace violence committed by or against employees. Cardiovascular Medicine, P. C. strictly prohibits employees from making threats or engaging in violent acts. Violation of this policy will not be tolerated and may result in disciplinary action, up to and including termination.

#### **Expected Employee Conduct**

To ensure both safe and efficient operations, Cardiovascular Medicine, P. C. expects and requires all of its employees to display common courtesy and engage in safe and appropriate behavior while performing duties for Cardiovascular Medicine, P. C. Any involvement in incidents of physical violence or strenuous horseplay is considered dangerous and unacceptable behavior that violates this standard of appropriate behavior in the workplace. Employees should inform Human Resources of potential outside threats, for example, an order of protection.

#### **Prohibited Conduct**

Prohibited conduct includes, but is not limited to:

- Injuring another person physically;
- Possessing, brandishing, or using a weapon while on Cardiovascular Medicine, P.C.'s premises or engaged in company business;
- Damaging property intentionally;
- Threatening to injure an individual or damage property; and/or
- Committing injurious acts motivated by, or related to, domestic violence or sexual harassment.

#### **Weapons Policy**

To ensure the safety of our employees, and our patients, Cardiovascular Medicine, P.C. will not allow weapons of any sort on the Company property. "Company property" is defined as all company-owned or leased buildings and surrounding areas such as sidewalks, walkways, driveways and parking lots under the company's ownership or control. This policy applies to all company-owned or leased vehicles and all vehicles that come onto company property.

"Dangerous weapons" include firearms, explosives, knives and other weapons that might be considered dangerous or that could cause harm. Employees are responsible for making sure that any item possessed by the employee is not prohibited by this policy.

#### **D. TOBACCO FREE AND E-SMOKING POLICY**

Cardiovascular Medicine, P.C. is proud to become a tobacco free health care organization, effective May 1, 2006. Pursuant the Smoke Free Air Act in Iowa and Illinois, all Cardiovascular Medicine locations, including outreach sites, will adhere to a tobacco free policy. Tobacco use and e-smoking device use will be prohibited at all Cardiovascular Medicine, P.C. sites, in Cardiovascular Medicine, P.C. vehicle(s), or in employee vehicles parked in employee parking areas or traveling between Cardiovascular Medicine, P.C. locations during scheduled working hours. This includes, but not limited to, vape pens, cigarettes, and smokeless tobacco. Violation of the tobacco free and e-smoking policy will not be tolerated and may be grounds for disciplinary action, up to and including termination.

#### **E. CHANGES IN PERSONNEL INFORMATION**

When there is a change in name, family status, address, phone number, payroll options, etc., employees are required to inform their supervisor so that accurate records can be maintained. It is the employee's responsibility to inform Human Resources of any qualifying life event.

#### **F. PERSONAL APPEARANCE**

Cardiovascular Medicine, P.C. is a professional medical environment, requiring a professional appearance and dress. An important contributing factor to the success of Cardiovascular Medicine, P.C. is the professional image and appearance of its employees. A pleasant, professional, and neat impression on our patients, the general public, and coworkers, is required to develop pride and confidence in our practice.

Cardiovascular Medicine, P.C. holds the expectation that staff will adhere to the Cardiovascular Medicine, P.C. Uniform guidelines. The Uniform consists of a uniform polo shirt in red, silver, charcoal, or black, (or white for clinical staff). Bottoms may be full-length dress pants or knee-length skirts, in khaki, grey, black (or white for clinical staff) with corresponding closed-toe footwear.

Staff can wear a uniform fleece (black, silver, grey, or white) or an approved lab coat/jacket on top of the uniform polo shirt. A plain white, red, silver, charcoal, or black shirt, turtleneck, or tank top can be worn under the uniform polo shirt. For example, a white long-sleeve shirt can be worn under a red uniform polo shirt.

***Clinical Staff:*** When providing patient care, a white lab coat is required by clinical staff unless a white uniform polo shirt or white uniform sweater is worn. Clinical staff have the option to wear white dress pants, white scrub pants, or white denim pants.

Changes to the uniform guidelines are made from the discretion of Cardiovascular Medicine, P.C., if there is a change, an addendum to this policy will be made, distributed to the staff, and attached to the handbook.

For the convenience of the staff, uniform polos and fleeces may be purchased through Cardiovascular Medicine, P.C. to ensure consistency of the colors and quality for the uniform polo shirts and sweaters. Uniform payments may be deducted directly from the employee's paycheck, with prior approval from the employee.

For staff who wish to purchase uniform polos, fleeces, or approved lab coat/jackets outside of Cardiovascular Medicine, P.C. this can be done by obtaining information from the Human Resources Department on the Brand Name and colors utilized. In addition to the uniform guidelines, staff must adhere to the standards of a professional personal appearance.

Professional Personal Appearance is defined, but not limited to, the guidelines in the following paragraphs.

Employees must have clean, well-groomed hair secured in a fashion not interfering with patient care, work function, or safety. Beards, mustaches, and sideburns must be neat, trimmed, and well groomed. Non-natural hair color (blue, pink, purple, etc.) is not suitable for a professional environment. Hair adornments/head wear should be subtle and limited, this includes, but not limited to, hats, caps, visors, etc. these adornments/head wear are not suitable for a professional work environment.

Jewelry should be consistent with job duties, not interfere with patient care, work function, or safety, and must maintain the appearance of a professional environment. Tattoos and/or body art, must not be visible. Facial piercings forward of the ear, including tongue, is not acceptable. Flesh colored, or clear piercing plugs for nose piercings may be acceptable if a professional image can be maintained. The plugs must be flat to the surface of the body. Ear gauges are not acceptable, flesh colored or solid plugs must replace the gauges.

Fragrances may be worn, however, discretion must be used where fragrances are applied. Respect will be given to allergies/sensitivities of patients and employees, which may eliminate the opportunity to wear fragrances. Employees must be aware that inappropriate scents of all body odor, tobacco, and food may be offensive to others and is not acceptable.

Footwear must be clean, in good repair and appropriate for the work duties and responsibilities performed, meeting the safety needs of the environment. Hose or socks must be worn at all times for employees described in Patient Care Areas. Footwear selection must be determined by safety, comfort, uniform expectations, and business appearance concerns. Sandals, flip-flops, or any other open toed shoe is not acceptable in any department while on working time. Recreational and snow boots are not acceptable forms of footwear, and must be changed when beginning the work day.

If job classification allows non-uniform wear/professional or business attire, the employee must follow the guidelines that follow. Shirts with collars, button, front or pullover style with finished neckline; blouses; turtleneck; sweaters; jackets/blazers; tops with sleeves; slacks, trousers, modest length skirts; dresses and jumpers. Uniforms/lab coats must be worn in accordance with patient care guidelines. Properly fitted clothing, appropriate for body size, and appropriate undergarments must be worn but not visible at all times.

All Cardiovascular Medicine, P.C. employees must wear their name identification badges provided by Cardiovascular Medicine, P.C. during working hours. Identification badges must be worn above the waist, and names and pictures must be clearly visible. Badges must be free of buttons to ensure the functionality of the badges.

If employees report to work improperly dressed or groomed, the Supervisor or designee will take appropriate action, which may include instructing employees to return home, to address issues. Employees will not be compensated during such time away from work and disciplinary action will be implemented.

Request for exception: A staff member may request an exception from this policy for specific individual circumstances (ex: religious practice, medical need) by submitting a written request to the Human Resources Department.

## **G. PERSONAL ELECTRONIC COMMUNICATION**

This policy outlines the use of personal cell phones at work, personal phone calls at work, and the safe use of cell phones while driving.

Personal electronic communication devices (cell phones, etc.) must be on silent mode and not accessible during work hours based on the nature of our environment and the courtesy of others. Texting, and internet usage, including social media sites (Facebook, twitter, etc.), while on company time, regardless of location, is not allowed. Camera-equipped devices belonging to workforce members are not permitted to be used for photographic purposes on company premises. Flexibility with cell phone and camera usage will be provided in circumstances demanding immediate attention, such as emergencies or incident reporting, with prior Supervisory approval. Cardiovascular Medicine, P.C. will not be liable for the loss of personal cellular phones brought into the workplace.

Personal phone calls during the workday, regardless of the phone used, can interfere with employee productivity and be distracting to others. A personal phone call includes, but is not limited to, conversations with family members and friends, and personal business (i.e., insurance, bank, other employers, personal physicians, etc.). Cardiovascular Medicine, P.C. understands the need to have a brief and occasional personal phone call on the Cardiovascular Medicine, P.C. phone. Flexibility will be provided in circumstances with prior Supervisory approval.

While driving, any workforce member utilizing a mobile phone for business purposes should pull to a safe location on the side of the road and adhere to all traffic, state and local laws and regulations at all times. When unable to pull on the side of the road, workforce members should utilize a hand free device as available. Workforce members should not engage in other distractions when driving, including but not limited to, usage of a laptop, internet, text messaging, or looking up phone numbers while driving.

Employees will not be reimbursed for the use of their personal cell phone. Phone communication for business purposes should be conducted through the provided office phones.

Violations of this policy will be subject to discipline, up to and including termination.

## **H. COMPUTER NETWORK RESOURCES USAGE**

Keeping Cardiovascular Medicine, P.C. network secure is a priority. Restrictions of Cardiovascular Medicine, P.C. computer network resources, including local area networks (LANs), the Internet, e-mail, and on-line information services are necessary to reduce potential liability, risk of inappropriate use, possible adverse perceptions by the public, and possible damages caused by computer-based viruses or non-approved applications running on Cardiovascular Medicine, P.C. computer network resources. Computer network resources are made available to staff as determined by the physicians and administration to improve communication and information exchange, and to provide information and research resources. LAN, Internet, e-mail, and on-line services are intended to be used for business purposes and are not to be used for entertainment, personal communications, and other personal use such as social media sites, illegal, harassing, libelous, or obscene purposes during or outside of business hours.

The e-mail and Internet system hardware is the practice's property. All messages or files composed, sent, or received on the system are, and remain, the property of the practice, not the private property of any employee. Therefore, employees should have no expectation of privacy and confidentiality when use of company provided equipment and services, including when use of personal devices on company provided "internet". This applies to all computer hardware, operating systems, data, application software of the practice, and stored electronic media.

All e-mail messages, downloaded Internet files, and downloaded newsgroup data are considered practice records and are not "private" or considered "confidential" to the employee in any way. Importantly, the practice may keep copies of Internet and email passwords.

Consistent with federal and state laws, the practice reserves the right to monitor, review, access and disclose all messages sent over its Internet system for any purpose. It is possible for deleted documents, messages, and newsgroup data to be retrieved from a variety of points in the network. Employees should assume that electronic evidence discovery could recover deleted or unsaved data. Users should be aware that any computer, whether networked or standalone, may be accessible to other users. The practice cannot guarantee the absolute privacy of internal or external e-mail communications. All Internet usage must be compliant with all federal, state, and local laws, and practice policies. All of the practice policies regarding violent, abusive or harassing behavior and sexual harassment apply to Internet and e-mail usage.

Personal use of e-mail or the Internet is not allowed without the consent of management and may result in disciplinary action up to and including termination.

## **I. SOCIAL MEDIA**

Cardiovascular Medicine, P.C. respects the right of employees to maintain a blog or participate in a social networking, Twitter or similar site, including but not limited to Facebook and LinkedIn. However, it is the right and duty of the company to protect itself from unauthorized use and disclosure of information.

Social media is a term used to describe online tools employees may use to communicate, including:

- Blogs;
- Social networking sites (Facebook, Twitter, etc.)
- Message boards;
- Wikis (collaborative web sites such as Wikipedia);
- Video sharing (such as You Tube);
- Tweets; and
- Podcasts (multimedia files distributed over the internet)

Hourly employees who create or contribute to these social media sites are expected to abide by certain rules. To protect the interests of Cardiovascular Medicine, P.C. and ensure employees focus on their job duties, employees must adhere to the following rules:

- Employees may not post a blog or a web page or participate on a social networking platform, such as Twitter or a similar site, during work time or at any time with Cardiovascular Medicine, P.C. equipment or property
- All rules regarding confidential and proprietary business information apply in full to blogs, web pages and social networking platforms, such as Twitter, Facebook, LinkedIn, or similar sites. Any information that cannot be disclosed through a conversation, a note or an email, cannot be disclosed in a blog, web page or social networking site.
- Whether an employee is posting something on his or her own blog, web page, social networking, Twitter or similar site or on someone else's site; if the employee mentions Cardiovascular Medicine, P.C., and also expresses either a political opinion, or an opinion regarding Cardiovascular Medicine, P.C.'s actions that could pose an actual, or potential conflict of interest with Cardiovascular Medicine, P.C., the poster must include a disclaimer. The poster should specifically state the opinion expressed is his/her personal opinion, and not Cardiovascular Medicine, P.C.'s position. This is necessary to preserve Cardiovascular Medicine, P.C.'s good will in the marketplace.

- Any conduct that is impermissible under the law if expressed in any other form or forum is impermissible if expressed through a blog, web page, social networking, Twitter, or similar site. For example, posted material that is discriminatory, obscene, defamatory, libelous, or violent is forbidden. Cardiovascular Medicine, P.C. policies apply equally to employee social media usage.
- Use of employer-owned equipment, including computers, company-licensed software or other electronic equipment to conduct social media activity, unless specifically authorized by Cardiovascular Medicine, P.C. is prohibited.
- Disclosing Cardiovascular Medicine, P.C.'s confidential or trade secret information, or any patient information (names, diagnosis, treatment, prognosis, etc.), on a social media site is prohibited.
- The employee must not use a social media site to insult, harass, threaten, or post personal details of any Cardiovascular Medicine, P.C. employee, patient, or vendor. Such prohibitions do not apply to employee's National Labor Relations Act Section 7 rights to discuss wages, hours, and working conditions.
- The employee cannot post photographs of other employees, patients, or vendors, while on work time at Cardiovascular Medicine, P.C. or without prior written consent.
- Cardiovascular Medicine, P.C. encourages all employees to keep in mind the speed and manner in which information posted on a blog, web page, and/or social networking site is received, and often misunderstood by readers. Employees must use their best judgment. Employees with any questions should review the guidelines above and/or consult with their manager. Failure to follow these guidelines may result in discipline, up to and including termination.

Where applicable law permits, the company reserves the right to monitor employee's use of any social media, and to take appropriate action with respect to inappropriate or unlawful postings. The need to monitor may arise in cases where Cardiovascular Medicine, P.C. has specific information about work-related misconduct or criminal activities, the unauthorized transfer of the employer's confidential and proprietary information and trade secrets, or Cardiovascular Medicine, P.C. need to comply with applicable federal, state, or regulatory requirements. Cardiovascular Medicine, P.C. will monitor social media to the fullest extent permitted by law, and will take disciplinary action, up to and including termination, against those who violate the policy. In monitoring social media, the company will not, in any way, interfere with any employee rights under Section 7 of the NLRA.

### **Reporting Violations**

Cardiovascular Medicine, P.C. requests and strongly urges employees to report any violations or possible or perceived violations to the Supervisor or the Human Resources Department. Violations include discussions of Cardiovascular Medicine, P.C. and its employees and patients, and any discussion of proprietary information related to social media.

### **Discipline for Violations**

Cardiovascular Medicine, P.C. investigates and responds to *all* reports of violations of the social media policy. Violation of the company's social media policy may result in disciplinary action up to and including termination. Discipline or termination will be determined based on the nature and factors of any social networking post. Cardiovascular Medicine, P.C. reserves the right to take legal action where necessary against employees who engage in prohibited or unlawful conduct.

## **J. SOLICITATIONS**

In the course of routine business, Cardiovascular Medicine, P.C. employees will have access to resources that may provide personal benefit. In accordance with state and federal regulations, solicitations of such benefits are prohibited. Cardiovascular Medicine, P.C. employees are not permitted to accept cash gratuities or gifts from patients or vendors. Cardiovascular Medicine, P.C.

employees are not permitted to accept gifts, including lunch, from pharmaceutical companies or medical device companies without prior Supervisory approval.

Acceptance of items of nominal value such as baked goods, other small food items, flowers, handmade or inexpensive decorative items or “knick-knacks” and the like, is permissible, although it should be strongly discouraged. Nominal gifts from vendors, such as a food tray, fruit, etc., provided to the practice as a whole should be directed to the supervisor.

In the interest of maintaining a proper business environment, and preventing interference with work and inconvenience to others, employees may not distribute literature or printed materials of any kind, sell merchandise, solicit financial contributions, or solicit for any cause during paid time. Employees who are not on paid time may not solicit employees who are on paid time for any cause or distribute literature of any kind to them. The office e-mail system is designed to enhance business communication among staff and should not be used for solicitation or notification of non-company sponsored social events of any kind. This includes the announcement of Parties (purses, jewelry, candle, etc.), the operating of side businesses (Personal training, 31, Lawn services, etc.) and the advertising of merchandise (youth fundraisers, furnishings, appliances, tickets, etc.). Bulletin boards in break facilities will be made available for posting of solicitations and social events. It is the sole responsibility of the seller/buyer to post/review these postings.

## **K. REPORTS OF GRIEVANCES**

### **1557 CIVIL RIGHTS GRIEVANCE PROCEDURE**

#### **1. Commitment to Nondiscrimination**

Cardiovascular Medicine, P.C. is committed to providing equal opportunity for all and to ensure a workplace and work environment in which no person is subject to discrimination on the basis of race, color, national origin, sex, age or disability. This commitment includes but is not limited to full compliance with Section 1557 Affordable Care Act (42 U.S.C. 18116) and its implementing regulations at 45 CFR part 92, issued by the U.S. Department of Health and Human Services, which prohibits discrimination on the basis of race, color, national origin, sex, age or disability in certain health programs and activities. To that end, Cardiovascular Medicine, P.C. has designated the **Human Resources Coordinator** as its Section 1557 Compliance Coordinator (“Section 1557 Coordinator”).

Those wishing to examine Section 1557 and its regulations may do so at the office of the Section 1557 Coordinator at 1236 E Rusholme Street, Suite 300, Davenport, Iowa 52803 or fax 563-324-6941. Any person who believes someone has been subjected to discrimination on the basis of race, color, national origin, sex, age or disability may file a grievance under this procedure.

#### **2. Purpose of Grievance Procedure**

In pursuit of its commitment to compliance with Section 1557 requirements, Cardiovascular Medicine, P.C. has adopted the following internal grievance Procedure to provide for prompt and equitable resolution of complaints alleging any action prohibited by Section 1557. Any person who believes that he/she or another person has been subject to discrimination on the basis of race, color, national origin, sex, age or disability in certain health programs and activities carried out or involving Cardiovascular Medicine, P.C. may file a grievance under this Procedure.

### **3. Procedures for Filing, Investigating and Resolving Grievances**

(a) Submission Deadline: Grievances must be submitted to the Section 1557 Coordinator within *60 days* of the date the person filing the grievance becomes aware of the alleged discriminatory action.

(b) Submission Guidelines: A grievance under this Procedure must be in writing and state: i. the name and address of the person filing; ii. a description of the problem or action alleged to be discriminatory; and iii. the remedy or relief sought.

(c) Internal Investigation: The Section 1557 Coordinator (or her/his designee) shall conduct an investigation of the grievance. This investigation may be informal, but it will be thorough and afford all interested persons an opportunity to submit relevant evidence.

(d) Records & Confidentiality: The Section 1557 Coordinator will maintain the files and records of Cardiovascular Medicine, P.C. relating to grievances under this Procedure. To the extent possible, and in accordance with applicable law, the Section 1557 Coordinator will also take appropriate steps to preserve the confidentiality of files and records relating to grievances and will share them only with those who have a need to know.

(e) Initial Determination: The Section 1557 Coordinator will issue a written decision on the grievance, based on a preponderance of the evidence, no later than 30 days after its filing, including a notice to the complainant of their right to pursue further administrative or legal remedies.

### **4. Appeals of Grievance Determinations**

The person filing the grievance may appeal the decision of the Section 1557 Coordinator by writing to the Practice Administrator at 1236 E Rusholme Street, Suite 300, Davenport, Iowa 52803 within 15 days of receiving the Section 1557 Coordinator's decision. The Practice Administrator shall issue a written decision in response to the appeal no later than 30 days after its filing.

### **5. Grievor Rights to Pursue Other Remedies**

The availability and use of this Procedure is not intended to and does not prevent a person from pursuing other legal or administrative remedies, including filing a complaint of discrimination on the basis of race, color, national origin, sex, age or disability in court or with the U.S. Department of Health and Human Services, Office for Civil Rights. A person can file a complaint of discrimination electronically through the Office for Civil Rights Complaint Portal, which is available at: <https://ocrportal.hhs.gov/ocr/portal/lobby.jsf>, or by mail or phone at: U.S. Department of Health and Human Services, 200 Independence Avenue SW., Room 509F, HHH Building, Washington, DC 20201. Complaint forms are available at: <http://www.hhs.gov/ocr/office/file/index.html>. Such complaints must be filed within 180 days of the date of the alleged discrimination

### **6. Accommodations**

Cardiovascular Medicine, P.C. will make appropriate arrangements to ensure that individuals with disabilities and individuals with limited English proficiency are provided auxiliary aids and services or language assistance services, respectively, if needed to participate in this Procedure. Such arrangements may include, but are not limited to, providing qualified interpreters, providing taped cassettes of material for individuals with low vision, or assuring a barrier-free location for the proceedings. The Section 1557 Coordinator will be responsible for such arrangements.

### **7. Protection from Retaliation**

Employees are reminded that it is a violation of federal law and Cardiovascular Medicine, P.C. policy to fire, demote, reassign, discipline or subject to any other punishment or tolerate such adverse treatment from Cardiovascular Medicine, P.C. or its managers, supervisors and other representatives in retaliation for filing a grievance, participating in the investigation of a grievance or opposing discrimination.

#### **L. REPORTS OF COMPLIANCE ISSUES**

If any employee perceives what he or she believes to be an illegal or unethical act involving another employee or anyone acting on behalf of the organization, it is the responsibility of the employee to report the activity. The employee may make the report to his or her immediate supervisor; however, if the employee is not comfortable doing so, or if the employee believes that the immediate supervisor's response to the report is unsatisfactory, the employee may report the suspected wrongdoing to a more senior supervisor/manager or to the corporate compliance officer. The organization will make every effort to keep these reports confidential if requested to do so by the employee, although complete confidentiality cannot be guaranteed if the organization deems it necessary to investigate or take other action regarding the report.

No employee will be punished solely because the employee reported what he or she reasonably believes to be an act of wrongdoing. An employee whose report of misconduct contains an admission of personal wrongdoing, however, cannot be guaranteed protection against disciplinary action. In determining whether, and to what extent, to discipline an employee who reports wrongdoing for which the employee is partly or fully responsible, the organization will consider the fact that the employee volunteered the information as one factor favorable to the employee. An employee may be subject to discipline if the organization determines that the employee knowingly fabricated the report of wrongdoing, in whole or in part.

#### **IV. EMPLOYEE BENEFITS AND SERVICES**

##### **A. EMPLOYEE EVALUATIONS/COMPENSATION/ADVANCEMENT OPPORTUNITIES**

###### ***Evaluations:***

Cardiovascular Medicine, P.C. values open communication with staff. To provide a forum for feedback (Employee→CVM, CVM→Employee), employee performance may be evaluated within 90 days of employment and efforts are made to evaluate performance on each employee's anniversary date or when deemed appropriate.

###### ***Advancement Opportunities:***

In the course of one's employment, opportunities for change in duties or advancement may become available. These opportunities may be posted for current staff review, and may be filled internally or externally at the discretion of management. Employment decisions will be based on merit, qualifications, abilities and business needs.

###### ***Compensation:***

It is Cardiovascular Medicine, P.C.'s policy and practice to accurately compensate employees, and to do so in compliance with all applicable state and federal laws. To ensure proper payment and that no

improper deductions are made, employees must review pay stubs promptly to identify and report all errors.

***Exempt Personnel:***

Employees classified as exempt salaried employees will receive a salary which is intended to compensate them for all hours they may work for Cardiovascular Medicine, P.C. This salary will be established at the time of hire or classification as an exempt employee. Salaried personnel will receive twelve equal monthly payments administered on the last working day of each month. While it may be subject to review and modification from time to time, such as during salary review times, the salary will be a predetermined amount that will not be subject to deductions for variations in the quantity or quality of the work performed.

***Non-Exempt Personnel:***

Twenty-six biweekly pay periods are scheduled throughout the year. A normal pay period consists of two consecutive weeks running Monday through Sunday. Hourly personnel paychecks will be distributed within two weeks of the end of the pay period. If a payday falls on a holiday, paychecks will be issued within one working day of the holiday (either one day prior or one day after).

Overtime is paid to all non-exempt employees in accordance with federal and state wage and hour restrictions. Overtime pay will be computed at the rate of one and one half times the regular rate for hours exceeding a 40 hour/week. Overtime pay is based on actual hours worked. Time off on paid leave or any leave of absence will not be considered hours worked for purposes of performing overtime calculations. All overtime must be approved by a supervisor.

***All Employees:***

Compensation may be adjusted for certain types of deductions such as, health, dental, or other insurance premiums; state, federal, or local taxes; social security, voluntary contributions to a 401(k) or pension plan, cell phone, uniform payments, or any other agreed upon adjustments between the employee and Cardiovascular Medicine, P.C.

If the employee believes he or she has been subject to any improper deductions, the employee should immediately report the matter to a supervisor.

**B. PROFESSIONAL DEVELOPMENT**

Employees may be directed to attend educational programs directly related to their job performance. Approval, compensation, and reimbursement of these programs will be at the discretion of management, in accordance with Federal Regulations. Employees voluntarily attending educational programs will not be compensated for attendance.

**C. GROUP BENEFITS**

Various welfare plans may be sponsored by Cardiovascular Medicine, P.C. Information regarding the benefits are available from the Plan Administrator during office hours each day. The waiting period for Health Care benefits for eligible employees is the first of the month following 60 days of employment. This is subject to change, as the sponsored benefit plan retains the right to determine the qualifications and date of employee eligibility. Any questions or concerns regarding eligibility may be addressed to the Plan Administrator.

***Special Enrollment/Continuation Rights:***

**Under HIPAA:**

The Health Insurance Portability and Accountability Act of 1996 provides Special Enrollment rights for benefit enrollment. If an employee declines enrollment for himself/herself or dependents (including a spouse) because of other health insurance coverage, the employee may in the future be able to enroll himself/herself or dependents in the Cardiovascular Medicine, P.C. plan, provided that enrollment is requested within 30 days after the other coverage ends. In addition, if the employee has a new dependent as a result of marriage, birth, adoption or placement for adoption, he/she may be able to enroll himself/herself and the dependents, provided that enrollment is requested within 30 days after the marriage, birth, adoption or placement for adoption.

**Under COBRA:**

The Federal Consolidated Omnibus Reconciliation Act (COBRA) gives employees and their qualified beneficiaries the opportunity to continue health insurance coverage under Cardiovascular Medicine, P.C.'s health plan when a qualifying event would normally result in the loss of eligibility. Common qualifying events are resignation, termination of employment, death of an employee, reduction in employee's hours, an employee's divorce or legal separation, and a dependent child no longer meeting eligibility requirements. Cardiovascular Medicine, P.C. provides each eligible employee with a written notice describing rights granted under COBRA when the employee becomes eligible for coverage under Cardiovascular Medicine, P.C.'s health insurance plan. The notice contains important information about the employee's rights and obligations.

All plans are established for the exclusive benefit of the employees and with the intention that they will continue indefinitely. However, the sponsoring employer does reserve the right to amend or terminate benefits at any time.

**D. PENSION**

The Cardiovascular Medicine, P.C. Profit Sharing Plan is available to all employees meeting plan eligibility requirements as defined in the Summary Plan Description. Details of the plan can be obtained from the Human Resources Department.

The Plan was established for the exclusive benefit of the employees and with the intention that it will be continued indefinitely. However, the sponsoring employer does reserve the right to amend or terminate the Plan at any time.

**E. PAID LEAVE PROGRAM (EARNED TIME)**

Cardiovascular Medicine, P.C. complies with all applicable federal, state, and local leave laws and regulations that require Cardiovascular Medicine, P.C. to provide time off for certain purposes, including Family and Medical Leave, Jury Duty, and Military Leave. If Cardiovascular Medicine, P.C.'s Earned Time policy conflicts with those legal mandates, the federal, state, and local requirements apply.

Paid leave begins upon employment with Cardiovascular Medicine, P.C. Employees with full-time or part-time status are included under the paid leave program. These employees have a "weekly designated number of work hours."

Paid leave is a benefit that provides time off with pay for vacations, holidays, sickness, extended bereavement and personal time with Supervisor approval. Salaried, full-time, and part-time staff are limited to fourteen days of consecutive time off for vacation, personal time or extended bereavement

purposes. The designated holidays are determined annually at the discretion of Cardiovascular Medicine, P.C. and will include but not limited to New Year's Day, Memorial Day, Fourth of July, Labor Day, Thanksgiving, and Christmas. Designated holidays can be partial or full days. If the holiday falls on Saturday, it will be observed on the Friday before and if the holiday falls on a Sunday, it will be observed on Monday. Employees must use accrued paid leave time for these designated holidays.

“Designated number of work hours” is defined as the number of regular hours per week as assigned by the supervisor. These hours are determined at the time of hire and are adjusted as circumstances dictate. Temporary adjustments to working hours do not affect the designated work hours.

<u>Length of service</u>	<u>Paid leave per year</u>
Employment – 3 months	Designated work hours x .06
3 months – <5 years	Designated work hours x .093
5 years – <10 years	Designated work hours x .112
10+ years	Designated work hours x .131

*Example:* An employee with a 40 hour designated workweek, employed for 1 year, will accrue 3.72 hours (40 x 0.093) of paid leave per 40-hour week.

Rules governing paid leave/time off for non-exempt employees:

1. No paid time off will be **earned** if the designated work hours per week are not fulfilled with actual work hours and/or paid leave.
2. No paid time off will be **earned** if the employee has failed to adhere to their designated work hours/schedule that week. Examples of failure to adhere to designated work hours/schedule may include but will not be limited to: unexcused tardiness, unapproved overtime, unapproved early start, repeated occurrences of failure to punch, unapproved shortened or extended lunch periods, etc. All current employees as of January 1<sup>st</sup> will receive 5 free unexcused tardy occurrences per calendar year before resulting in the loss of earned time accrual. All other employees starting after January 1<sup>st</sup> will receive a pro-rated amount based upon hire date. Exceptions approved by the supervisor (**in advance when possible**) will be excluded when considering if the employee has adhered to their designated work hours/schedule for the week.
3. If an employee works fewer than the weekly-designated number of work hours, available paid leave **must** be used to fulfill the weekly-designated number of work hours.
4. Employees are responsible for maintaining a sufficient paid leave balance to satisfy time off requests.
5. Employees requesting paid leave for the purposes of vacation are limited to a maximum of two consecutive weeks.
6. Employees can begin using earned time once he/she obtain a positive earned time balance.
7. Employees must take three consecutive workdays off through the employee's calendar year.
8. Paid leave may be accrued up to a number of hours equal to the employee's designated work hours per week x 6, not to exceed 240 hours per year. If an employee's unused paid leave exceeds the maximum accrual, the employee will be paid for the excess hours, at the rate of ½ the normal value (e.g. 30 hours of paid/earned time = 15 hours of pay) on a pay period following his/her annual review.
9. After one year of continuous employment, employees may request to redeem paid/earned time for additional income providing the following criteria is met:
  - a. Only uncommitted hours in excess of two weeks of an employee's "designated number of work hours" may be considered for redemption.
  - b. Committed hours include hours requested for vacation or personal time or holiday time in the upcoming thirty days

- c. Paid/earned time taken as additional income will be paid at the rate of ½ the normal value (e.g. 30 hours of earned time = 15 hours of pay).
10. Employees resigning with proper notice and fulfilling all scheduled hours with worked hours during notice period may be paid at full value.

Rules governing paid leave/time off for Exempt employees:

1. Paid time off must be used for full or partial day absences, exceptions may apply
2. Employees are responsible for maintaining a sufficient paid leave balance to satisfy time off requests
3. Paid leave may be accrued up to a number of hours equal to the employee's designated work hours per week x 6, not to exceed 240 hours per year. If an employee's unused paid leave exceeds the maximum accrual, the employee will be paid for the excess hours, at the rate of ½ the normal value (e.g. 30 hours of paid/earned time = 15 hours of pay) on a pay period following his/her annual review.
4. Employees resigning with proper notice and fulfilling all scheduled hours with worked hours during notice period may be paid at full value.

When applying for leave, except sudden illness, an employee must submit a REQUEST FOR LEAVE form prior to departmental scheduling. The supervisor will respond as to the approval or disapproval of the leave. Amount of paid leave available, seniority, previous requests, duration of leave, staffing requirements and time of request will be criteria generally considered in granting or not granting the leave.

## **F. BEREAVEMENT LEAVE**

Additional bereavement paid time off is available for full-time and part-time employees meeting the established criteria. Employees who request and qualify for bereavement leave will be paid by Cardiovascular Medicine, P.C. for the hours they normally would work that day and/or days, maximum 8 hours per day.

Two days of wages will be paid in the event of the death of a parent (including step-parent), child (including step-child), sibling (including step-sibling) and current spouse.

One day of wages will be paid in the event of the death of a grandparent, grandchild, current mother-in-law, current father-in-law, current sister-in law, and current brother-in-law.

It is the employee's responsibility to request bereavement leave and provide verification of the event. If additional time off is needed, the time should be covered by accrued earned time.

Cardiovascular Medicine, P.C. will adhere to federal and state regulations including the Illinois Child Bereavement Leave Act. Cardiovascular Medicine, P.C. will provide up to ten working days of leave for the death of a child (2 days paid as noted above and 8 days unpaid). Employees may utilize paid leave time to supplement hours.

### **Child Bereavement Leave**

Cardiovascular Medicine, P.C. will follow all applicable federal and state laws governing this leave. Please see the Human Resources Department regarding further information.

## **G. FAMILY AND MEDICAL LEAVE**

If you have worked for Cardiovascular Medicine, P.C. a minimum of one (1) year, and have worked 1,250 hours or more during the twelve (12) months prior to requesting leave, you may be eligible for family and medical leave.

If you are eligible for family and medical leave, you are entitled to twelve (12) weeks of unpaid leave within any twelve (12) month period for the birth or adoption of a child, to care for a child, spouse, or parent with a serious health condition, or to care for your own serious health condition. After three (3) consecutive full work days of being absent due to a known qualifying condition, Cardiovascular Medicine, P.C. will notify the FMLA qualified employee of their rights to use this coverage.

It will be measured using the rolling backwards method for calculating the leave year. This means the leave period is measured backward from the date you use leave. Each time the leave is taken; the remaining leave entitlement will be the balance of the 12 weeks that has not been used during the immediately preceding 12 months. Married employee couples are restricted to a combined total of 12 weeks leave within any 12-month period for childbirth, adoption, or placement of a foster child, or to care for a parent with a serious health condition. The FMLA also entitles an employee to take up to 26 workweeks of FMLA leave in a single 12-month period for military caregiver leave.

When taking leave to care for a family member or your own serious health condition, Cardiovascular Medicine, P.C. may require that you provide documentation from a physician stating that the health condition is “serious” as well as documentation supporting time off requests.

Family and medical leave is unpaid leave. Cardiovascular Medicine, P.C. requires that you use all accrued but unused paid leave concurrently with your family and medical leave. While on leave, you will be responsible for paying the employee portion of your health insurance premium that was otherwise deducted from your paycheck.

Upon return from FMLA leave, if you fail to make your premium payments under the health insurance policy, Cardiovascular Medicine, P.C. can recapture your share of missed payments through payroll deduction by increasing the cost of your premium payments by 1 ½ times until the cost of your owed employee premiums are paid in full.

In the event that you elect not to return to work upon completion of an approved unpaid leave of absence, Cardiovascular Medicine, P.C. may recover from you the cost of any payments made to maintain your coverage, unless the failure to return to work was for reasons beyond your control. Benefit entitlements will be calculated as of the last paid workday prior to the start of the unpaid leave of absence.

Benefit accruals, such as paid leave, will be suspended during unpaid leave and will resume upon return to active employment.

To prepare for your absence during family and medical leave, Cardiovascular Medicine, P.C. requires thirty (30) days’ written notice of your intention to take leave be submitted to your supervisor. If, due to emergency or unforeseen circumstances, you are unable to provide thirty (30) days’ notice before taking leave, notice as soon as possible and practical is acceptable.

Cardiovascular Medicine, P.C. is compliant with state leave acts (i.e. Iowa Pregnancy Leave Act) when FMLA does not apply. However, FMLA will run concurrently with state leave laws including workers compensation and disability benefits, when applicable.

To obtain more information regarding FMLA, contact the Human Resources Department.

## **H. SCHOOL VISITATION LEAVE**

Cardiovascular Medicine, P.C. will follow all applicable federal and state laws governing this leave. Please see the Human Resources Department regarding further information.

## **I. JURY DUTY**

Jury duty is considered to be an important civic responsibility. If called for jury duty, employees will be paid by Cardiovascular Medicine, P.C. for half the hours they were absent that day and/or days for Jury Duty, **up to one week or 20 hours**. Written confirmation from the court of your jury duty service is required in order to receive jury duty pay. Temporary / PRN employees are not reimbursed for jury duty absences. Paid time off for jury duty is pro-rated for part-time employees.

To reduce interruptions in work, which may be caused by your absence, you are requested to promptly notify your Supervisor that you have been called for jury duty. You are required to report punctually for work during any day in which your services as a juror do not require your presence in court or when you are excused with more than two (2) hours remaining in your regular working day. Paid leave time may or may not be used to supplement these hours.

This leave may not be taken for personal court appearances or to testify as a witness.

## **J. MEDICAL CARE SERVICES FOR EMPLOYEES**

Employees of the Practice and their family members are welcome to receive cardiovascular medical care and diagnostic testing services from practice providers if they so desire. Such services will be provided at the Practice's standard charges and billed according to standard procedures to the patient's health insurance carrier. Employees and their family members who wish to receive care from Cardiovascular Medicine, P.C. must complete the practice's normal registration forms and financial agreements. Employees who wish to review or receive copies of their own medical records must complete the appropriate Authorization for Release of Medical Information Form. Employees may not review or receive copies of their family members' medical records, including minor's, without such an Authorization completed by the applicable family member or valid person in interest. As Federal law and practice insurance carrier contracts prohibit "insurance only" or waiving of deductibles and co-pays in the absence of individually determined and documented financial need, employees and family members are required to pay such deductibles and co-payments for the services they receive, or to apply and be approved for waiver or reduction on the basis of financial need. At the time of medical treatment for Cardiovascular Medicine, P.C. employees and their family members, Cardiovascular Medicine, P.C. employees can voluntarily enter into a payment arrangement for services rendered via payroll deduction, to be paid off in a reasonable amount of time, not to exceed six months. Standard Cardiovascular Medicine, P.C. accounts receivable procedures will follow if payroll deduction is subsequently cancelled or the amount due is not paid in full by the above timeframe.

## **K. MISCELLANEOUS BENEFITS**

### **EMPLOYEE ASSISTANCE PROGRAM**

Cardiovascular Medicine, P.C. currently provides all staff with access to an Employee Assistance Program (EAP). The EAP is an employer-sponsored benefit intended to provide confidential assessment, short-term counseling, referral and follow-up services that will help employees and members of their immediate family resolve personal problems. Additional information can be obtained through the Human Resources Department.

## **L. LACTATION/BREASTFEEDING POLICY**

### **Accommodation for Lactating Mothers**

Cardiovascular Medicine, P.C. provides employees who are nursing with reasonable break time to express breast milk after the birth of a child. The break time provided must run concurrently with any other break time provided to employees, but to the extent the lactation break does not occur during an otherwise unpaid break such time is paid.

Cardiovascular Medicine, P.C. will make reasonable efforts to provide a private location in close proximity to the employee's work area. Cardiovascular Medicine, P.C. will not retaliate against employees for exercising their rights under this policy. Cardiovascular Medicine, P.C. will follow all applicable state and federal laws regarding accommodations for lactating mothers.

## **M. PREGNANCY LEAVE**

Cardiovascular Medicine, P.C. will follow all applicable federal and state laws regarding leave for pregnancy. If an employee does not have the opportunity for any other leave (Family and Medical Leave Act, etc.), the employee must submit a Request for Leave to be reviewed by the Officers at Cardiovascular Medicine, P.C.

## **N. VOTING LEAVE**

Employees who are eligible to vote in an election may request up to two (2) hours with pay to vote while polls are open. If time allows outside of the employee's work schedule to vote while polls are still open, time may not be granted to vote during the workday. Employees must notify Cardiovascular Medicine, P.C. of their intention to vote at least one week prior to Election Day.

## **O. ILLINOIS LEAVE FOR VICTIMS OF DOMESTIC OR SEXUAL VIOLENCE**

Cardiovascular Medicine, P.C. will follow all applicable federal and state laws governing this leave. Please see the Human Resources Department regarding further information.

## **P. ILLINOIS SICK LEAVE POLICY**

Cardiovascular Medicine, P.C. will follow all applicable federal and state laws governing the leave policy. For further information, please contact the Human Resources Department.

## **V. SAFETY**

### **A. NOTICES/BULLETIN BOARD**

Notices will be posted in a general area accessible to all. These include notices regarding Federal & State Labor Legislation, Location of Safety Manual, Fire Plan, etc.

### **B. OSHA COMPLIANCE**

Cardiovascular Medicine, P.C. adheres to all OSHA standards for general industry as set forth by the Occupational Safety and Health Administration and United States Department of Labor. Detailed OSHA policies and procedures can be obtained from the Compliance Manager.

### **C. SAFETY**

Cardiovascular Medicine, P.C. is concerned with providing employees with a safe working environment. The office maintains a safety policy and disseminates procedures during in-service programs throughout the year.

Employees are expected to promote safety by:

1. Reporting any unsafe working area.
2. Reporting all injuries.
3. Lifting heavy objects correctly using proper body mechanics.
4. Observing the rules and procedures when exposed to contagious and infectious diseases or hazardous chemicals.
5. Careful handling of sharp instruments, needles, or knives.

#### **D. FIRST AID**

If a minor injury occurs on the job, there are first aid supplies available at each office location. If the injury is serious, an escort to the hospital emergency room will be provided. If the situation requires professional emergency assistance, call 911.

If an accident or illness should occur, a supervisor should be notified immediately so that appropriate medical treatment may be administered. The transfer of any bodily fluid (blood, saliva, urine, etc.) may pass on the AIDS or other viruses. Please use extreme caution to avoid contact with these body fluids. Employees administering first aid must utilize appropriate Standard Precautions, including gloves, gown or mask as warranted.

On the job injuries will be handled in accordance with the Workers' Compensation laws. Any employee who is injured while on the job must notify the Benefits Administrator immediately to be eligible for coverage provided under the Workers' Compensation Act.

#### **E. DRUG AND ALCOHOL TESTING**

Cardiovascular Medicine, P.C. is committed to providing its employees with a safe workplace. In doing so, Cardiovascular Medicine, P.C. believes that it is important to have a Drug and Alcohol Testing Program in compliance with IA Code § 730.5. Cardiovascular Medicine, P.C. requires pre-employment and post-accident drug and alcohol testing. An employee injured on the job may be required to submit to a drug or alcohol test when seeking medical treatment for a worker's compensation accident. A copy of this Program will be provided and if you have any questions please direct them to the Human Resources Department.