

OBSERVER ORIENTATION MANUAL



UAHSF, UAB Hospital, Emergency Departments & Ambulatory Clinics

The observer policy nor this observer orientation manual applies to 1) an individual visiting the facilities for an interview or touring the facility or 2) students rotating at UAB Medicine clinical facilities pursuant to an Education Affiliation Agreement with the student's educational institution. Academic Students need to follow the guidelines and complete the Academic / School Affiliated Student & Faculty Orientation Manual located on ONE under Non-Employee Guidelines.

Content

Observer Orientation Manual

Welcome to UAB Medicine Welcome to UAB Medicine- Mission, Vision, UAB Medicine Core Values, Entities
Policies Appearance, Cellphones, Social Media, Workplace, Injuries and Forms No-Smoking Policy Personal Appearance (Dress Code) and Cell Phones, Walkie-Talkies, and Wireless System Use Social Media Accidents / Injuries, Drug Free Workplace
Patient Rights, Population-Specific, National Patient Safety Goals Patient Rights (Patient Bill of Rights) Population Specific National Patient Safety Goals Fall Prevention
Environment of Care Safety Alert Codes: Fire, Medical and Non-Medical Emergency Management Security – Weapon Free
Infection Prevention and Control Standard Precautions Universal Respiratory Etiquette Hand Hygiene / Fingernails / Partners in Care Program Infection Protection Blood/Body Fluids Safety Measures with Sharps/Needle sticks Guidelines for Waste Disposal
Ethics Compliance, Diversity, Cultural Diversity Ethics Compliance Cultural Diversity
Documentation of Forms HIPAA Privacy and Security Confidentiality Code of Conduct Confidentiality Agreement Rules of Behavior Employee Health Clearance, and Other Requirements as described on the Observer Checklist Form at the end of this manual. <i>Reference the Interdisciplinary Observer Policy for additional information.</i>



Hello,

UAB welcomes you! We are very happy and excited you are here, and we hope you are just as excited to observe and learn from some of the best in the Nation. UAB is repeatedly ranked among the top in health care and education. This is because of the people that make up UAB; the people you will be observing and learning from!

We are committed to providing you with a stimulating learning environment in the fast- changing, ever-challenging world of health care. We are proud you chose UAB and want to help you meet your goals. Many of our students and observers choose UAB as a future employer and become a permanent part of our team because of their time spent with us.

While here, you may hear a lot about Core Values. These core values embody what we deem to be important. Healthcare is undergoing rapid change to which each of us must respond. To have meaning in our competitive environment, the response must come from a well-coordinated team.

While you are here, you are part of this amazing team!

Our Core Values

- Own it. Be accountable, take action, and make it happen.
- Do right. Follow through, work with principles, and do no harm.
- Always care. Listen with empathy, be compassionate, and support those in need.
- Work together. Think win-win, build consensus, and play your role on the team.

Own It + Do Right + Always Care + Work Together = Excellence

UAB wants to help you meet your goals and we are grateful to be a part of your journey. We hope you not only learn from us while you are here but that you experience what makes UAB the best. Thank you so much for being here and adding to our team.



UAB Medicine Entities

UAB Medicine wraps our teaching, research, and clinical care mission together under one banner. It says to the communities and regions that we serve that our same quest for finding new treatments can also be found in our commitment to providing innovative care. It also promises that UAB's team of world-renowned researchers, educators, and clinicians will work together to make UAB the preferred choice for compassionate care in a quality setting.

UAB Medicine comprises:

- **UAB School of Medicine:** clinical and Joint Health Sciences departments and centers
- **UAB Medicine Hospitals:** UAB Hospital, UAB Hospital Highlands, UAB Hospital Emergency Department main campus and Gardendale, UAB Spain Rehabilitation Center, UAB Center for Psychiatric Medicine, UAB Hospital Women & Infants Center, and UAB Callahan Eye Hospital
- **UAB Medicine Outpatient Facilities:** The Kirklin Clinic of UAB Hospital, The Kirklin Clinic at Acton Road, and associated clinics in the Birmingham area.
- **Practice Plans:** Health Services Foundation, Valley Foundation, and Ophthalmology Services Foundation

Our Mission

To improve the health and well-being of society, particularly the citizens of Alabama, by providing innovative health services of exceptional value that are patient- and family-centered, a superior environment for the education of health professionals, and support for research that advances medical science.

Our Vision

The UAB Health System will enhance its role as a preeminent and well-integrated clinical enterprise, recognized as a leader in the advancement of medical science and the delivery of health-related services that are patient- and family-centered. With the School of Medicine, the Health System will create highly innovative, well-coordinated interdisciplinary services and partnering relationships that serve as a model for health education and service delivery.

Diversity

We are excited to build on our success to deliver a strategy that will foster a sense of belonging, dignity, and justice for everyone who is impacted by UAB Medicine. We understand that the only way forward is with courage and commitment to our core values.



Policies, Appearance, Cellphones, Social Media, Workplace Injuries and Forms

UAB/UABHS Covered Entities

All employees, students, and volunteers of the covered entities must comply with HIPAA regulations.

UAB CAMPUS

**School of Dentistry
School of Health Professions
School of Nursing
School of Optometry
Joint Health Sciences Departments
Education's Community Clinics
UAB Health Plans**

UAB MEDICINE

**UAB Hospital, including Highlands campus
The Kirklin Clinic of UAB Hospital
UA Health Services Foundation
School of Medicine
Callahan Eye Hospital & Clinics
VIVA Health
Ophthalmology Services Foundation
Medical West**

Smoking Policy: Smoking, including Vape smoking, is not permitted in any building owned or leased by UAB Health System except in designated areas.

Personal Appearance (Dress Code) and Code of Conduct Policy: UAB Health System wants to ensure that it projects an image of professionalism, cleanliness and safety to our patients, visitors, and employees at all times. It is our belief that the dress/appearance of staff promotes a positive, professional image that projects a caring atmosphere to patients and others. We place a high degree of importance on establishing and maintaining an atmosphere of courtesy, respect, and concern for each customer – patient, family members of our patients, visitors, physicians, and co-workers so that all people have a favorable perception of UAB Medicine.

Cell Phones, Walkie-Talkies, and Wireless System Use Policy:

- **At no time shall a camera phone be in use in patient care areas.**
 - Taking photographs of patients or staff is prohibited.
 - Failure to comply is a breach in confidentiality and may result in termination.
- **Use of transceivers will be prohibited within less than three (3) feet of any patient care equipment in critical care areas.**

Social Media Policy: All use of Internet and wireless technologies and social computing on behalf of UAB Medicine must comply with all applicable policies and procedures governing UAB Medicine operations and employee conduct, including, but not limited to, HIPAA and confidentiality policies; workplace behavior policies; and conflict of interest/commitment policies.

Unacceptable Use: Creating, exchanging, publishing or otherwise distributing in public forums and open communication tools to third parties (for example, via Web e-mail, Instant messaging, blog postings, chat rooms, Facebook, Twitter, Instagram, Snapchat virtual representatives and more) any of the following:

- Product advertisements or political lobbying or religious promotions.
- UAB confidential information to unauthorized people or violating UAB's data protection policy.
- Otherwise using the Internet in a way that increases UAB's legal and regulatory liability.
- Unprotected healthcare data and personally identifiable consumer data that would violate U.S. Health Insurance Portability and Accountability Act and Gramm-Leach-Bliley Act regulations. Exceptions may be authorized by the employee's sponsor, and in conjunction with use of a UAB-approved e-mail encryption service.

ACCIDENTS/INJURIES

Accidents/injuries should be reported as soon as possible to your supervisor in department. If medical treatment is needed or advised, you should report to the Hospital Emergency Department. Any non-UAB employee (contractor, visitor, volunteer, minor, etc.) who experiences an exposure or injury requiring immediate medical treatment while onsite at UAB is responsible for all costs associated with the provision of such care. Non-UAB employees should consult with their employers about their specific process for reporting exposures or injuries while providing onsite services at UAB.

DRUG FREE WORKPLACE

Unlawful possession, use, manufacturing, distribution, dispensing of illegal drugs, controlled substances, or alcoholic beverages by any individuals is prohibited.

Patient Rights and Responsibilities: All patients have certain rights and responsibilities and all patients, or their representatives should be informed of those rights upon admission in order to ensure understanding between the patient and the staff and provide the patient the ability to make informed treatment decisions.

With this said, patients have the right to request individuals be prohibited from coming in contact with them while they are hospitalized. For example, they may request the identity of all persons present in the operating room suite. If a faculty member or student is to be present during that operation, the patient has the right to deny their presence in the operating room suite.

**Full copies of the latest version of these policies can be provided by your sponsor.*



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The following statement is not meant to be all-inclusive - it represents some of the concerns regarding the relationship between hospital/facility and patient. Patient Rights include:

- Access to Care- access to treatment or rooms that are available or needed because of their condition, regardless of race, creed, sex, national origin, handicap, or sources of payment for care.
- Respect and Dignity - to receive care in a safe setting, free from verbal or physical abuse or harassment. Considerate, respectful care always. [In regard to sensitive patient exams/procedures, patients have a right to a chaperone. In OB/GYN areas, the care partner may serve as a chaperone.]
- Privacy and Confidentiality- within the law, personal and information privacy:
- To refuse to talk or see anyone not officially connected with the hospital, including visitors. To refuse to talk to people officially connected with the hospital, but not directly involved with their care.
- To wear appropriate personal clothing and religious or other symbolic items if they do not interfere with tests or treatments.
- To be interviewed and examined in privacy.
- To expect that any discussion of their case will be handled discreetly. Persons not directly involved in care will not be present without permission.
- To have their chart read only by those directly involved in treatment. Persons who monitor the quality of care may also read the chart. Other individuals cannot read their chart without written consent.
- To expect that their records of care, all communications and other records pertaining to their care, including the source of payment for treatment, to be treated as private and confidential.
- To request a transfer to another room if another patient or visitor in the room is unreasonably disturbing them.

- To be placed in protective privacy when considered necessary for their personal safety.
- To be informed of the hospital/facility rules and regulations that applies to their conduct as a patient. Patients are entitled to information about the hospital's procedure for handling complaints.
- To refuse treatment to the extent permitted by law. When refusal of treatment by the patient or legal representative prevents the hospital/facility from providing appropriate care, the hospital/facility may end its relationship with the patient after giving reasonable notice.
- To receive an itemized and detailed explanation of their total bill for services rendered in the hospital/facility.
- To make decisions concerning medical care, including the decision to have life-sustaining procedures withheld or withdrawn in instances of a terminal condition (Advance Directives) and to have hospital/facility staff and practitioners who provide care in the hospital/facility comply with those directives, in accordance with the law.
- To be free from restraints and seclusion of any form used as a means of coercion, discipline, convenience, or retaliation by staff.

The Joint Commission:

Patient Rights and Responsibilities:

[https://www.jointcommission.org/search/#q=patient%20rights%20and%20responsibilities&t=_Tab_All&f:@sitelongname=\[The%20Joint%20Commission\]](https://www.jointcommission.org/search/#q=patient%20rights%20and%20responsibilities&t=_Tab_All&f:@sitelongname=[The%20Joint%20Commission])

Fall Prevention:

[https://www.jointcommission.org/search/#q=fall%20prevention&t=_Tab_All&f:@sitelongname=\[The%20Joint%20Commission\]](https://www.jointcommission.org/search/#q=fall%20prevention&t=_Tab_All&f:@sitelongname=[The%20Joint%20Commission])

ENVIRONMENT OF CARE

The UAB Environment of Care is comprised of the following eight disciplines:

Safety	Life Safety
Security	Medical Equipment
Hazardous Materials & Wastes	Utility Systems
Emergency Preparedness	Infection Control

[Your sponsor can provide you more details on these topics via the SCR Website]

Hazardous Materials and Waste

- There are three main categories of Hazardous Waste:
 - Chemical
 - Radioactive
 - Biological

Emergency Management

- Your role in the implementation of a disaster plan will be dependent on your unit's role and the nature of the emergency.
- Disaster Codes: When you are in our buildings, you may hear a variety of Emergency Codes in which staff will respond. Follow the directions of your sponsor.
- Alert Codes: Are used to notify staff of emergencies. The alert codes and "all clear" signals are announced by an "over-head" page.
- Emergency Code Red for Fire = We use the R.A.C.E. method for responding to a fire:
 - **R – Rescue** anyone from immediate danger
 - **A – Alarm**, pull the fire alarm next to the exit (UH dial 934-0001, CEH, dial ext #500, Kirklin/Whitaker dial 1-1010, off campus dial 911)
 - **C – Confine** the fire, close the door where the fire is located
 - **E – Evacuate** and/or Extinguish (P.A.S.S.)

Security

- Always wear your badge.
- **Firearms and ammunition** are prohibited on UAB property.

Infection Prevention and Control

Note: Guidelines in this section are for awareness. Observers will not engage in direct patient care.

Healthcare-associated infections are infections that patients acquire during receiving treatment for other conditions within a healthcare setting. Healthcare-associated infections are one of the top ten leading causes of death in the United States.

Standard Precautions

Patient Safety is one of our top priorities. Illnesses may be spread by direct contact or by airborne methods. In the interest of safety for our patients and infection prevention, help prevent the spread of any common childhood or community illnesses. We ask those entering our facilities to do a self-screening. If you have any of the following, please consider rescheduling your time with us:

- A new cough (not associated with your current illness)
- Fever
- Shortness of breath (worse than usual)
- Severe headache (worse than usual)
- Unexplained muscle aches
- Unexplained extreme fatigue
- Vomiting and/or diarrhea

PRECAUTIONS

- Consider all patients potentially infectious.
- Use appropriate barrier precautions at all times.
- If it's wet don't touch it or let it touch you without "Personal Protective Equipment (PPE).

Universal Respiratory Etiquette

Cover Your Cough

- Cover your mouth and nose with a tissue when you cough or sneeze or cough or sneeze into your upper sleeve, not your hands.
- Put your used tissue in a waste basket
- You may be asked to put on a surgical mask to protect others.
- Clean Your Hands after coughing or sneezing.
- Wash your hands with soap and water or clean your hands with alcohol-based hand cleaner.



Hand Hygiene – Infection Prevention is a “Hands On” Business

UAB encourages frequent hand washing for all its staff, patients, and visitors.

- We provide alcohol-based hand rub in all patient care areas.
- We encourage you to remind anyone to wash their hands.

Recommended Hand Hygiene Technique:

- When using soap and water for hand hygiene, hands should be washed for 15 seconds.
- Must use soap and water when your hands are visibly soiled and after using the restroom.

Alcohol-Based Hand rubs are readily available throughout our facilities.

Fingernails and Artificial Nails:

- Natural nail tips are **not to exceed ¼ inch** (CDC Guidelines).
- Artificial, wrapped and/or overlay nails of any kind **are prohibited** for staff working in clinical / patient care areas.

Partners In Your Care Program

Encourage patients to become involved in their care & ask “have you cleaned your hands?” “before worker cares for them.

The correct answer:

- 1) Yes, I have.
- OR**
- 2) No, I forgot, thanks for reminding me.



Infection Protection

- Don't Get Stuck with sharps, **always** assume there may be a hidden sharp in trash, linens, etc. Don't compress trash with your hands or feet.
- Wash/clean your hands often while at work.
- Keep your hands away from your face to the extent possible while at work.



Blood/Body Fluid Exposures

- Immediately wash the exposure site with soap and water or plain water or saline for mucous membranes.
- Report exposures to employee health & supervisor in department.
- Fill out incident report.

⇒ **Note:** Notify the Manager of the unit/area of the event.

Isolation Signs Posted on Door or Area?

- As an observer, do not enter rooms or areas that have Isolation Signs.

ETHICS-COMPLIANCE, DIVERSITY, CULTURAL DIVERSITY

POPULATION SPECIFIC

UAB acknowledges the steadily increasing diversity of our patient/resident population and the workforce in the United States has heightened awareness that all health care providers need to be more skilled in understanding and responding to differences.

- Race, age, gender, disability, religion, personality style, language, sexual orientation, and other cultural and socioeconomic factors influence health promotion and help-seeking behaviors.
- Health care organizations are committed to creating an environment that is respectful of differences and consistently uses behaviors that communicate respect.
- All health care providers, including health profession students, must learn to recognize, respect and work with health recipients across different developmental stages; from different cultures and with different values, beliefs, practices and rituals. This will eliminate barriers to the delivery of health care and generate improved, measurable outcomes.

Ethics Compliance

If you identify a practice or situation that constitutes a potential ethics violation, notify your instructor first.

UAB welcomes information about instances in which ethical standards may not have been upheld so that the institution can do the right thing by correcting deficient past practices and improving processes moving forward. Consistent with UAB's Code of Conduct and Duty to Report and Non-retaliation Policy, individuals do the institution a service by reporting good faith concerns and are protected from retaliation for doing so.



UAB Compliance Hotline: 1.866.363.9476

Diversity

Diversity may be reflected in a person's culture, beliefs, age, lifestyle or physical attributes.

At UAB, we:

- Recognize that diversity, including cultural diversity, exists in both patients and co-workers.
- Demonstrate respect for people as unique individuals, with culture as one factor that contributes to their uniqueness.
- Respect the unfamiliar.
- Identify and examine your own cultural beliefs.
- Recognize that some cultural groups have a definition of health and illness, as well as practices that attempt to promote health and cure illness, that may differ from your own.
- Are willing to modify health care delivery in keeping with the patient's cultural background.
- Do not expect all members of one cultural group to behave exactly the same way.
- Appreciate each person's cultural values are ingrained, therefore, very difficult to change.



Cultural Diversity - Bringing Together the Values: Work Together & Always Care

UAB is committed to employee and customer diversity and a working environment that is positive and inclusive. We consider diversity as the full range of human difference and the potential that everyone contributes. Included in this range are many differences including race, gender, ethnicity, age, culture, national origin, religious belief, physical ability, sexual orientation, socioeconomic class, lifestyle preference, political conviction, and many other differences.



Why Should We Value Differences?

Individual differences should be recognized, accepted, and valued. Why? These differences offer great advantages and opportunities for all of us, not only in our work but in our personal lives as well. Valuing diversity is a way of helping people think through their assumptions and beliefs about all kinds of differences. It is a way of increasing a person's growth and development.



Key points:

1. Act in a way that shows you acknowledge and respect differences. Not everyone will have the same opinion or reach the same solution as you do. It is important to respect the contributions of different individuals and be flexible whenever possible.
2. Communicate openly and clearly. When communication breaks down from a language barrier or other problems, try asking questions - questions that require more than a yes or no answer - to get all the information you need.
3. Your words and actions could be misinterpreted. While the other person in a situation should be trying to listen without making assumptions about what you have to say, it is up to you to bridge any communication gap.
4. Your words and actions could intensify the conflict. Ask yourself, am I acting in a way that shows I acknowledge and respect differences? Communicate clearly and ask open-ended questions to get the information you need. Make sure that your words or actions are not being misinterpreted.
5. Your attitude could be hindering your effectiveness. You must start somewhere. So start with checking your own attitude about differences. See how you really feel. Be honest with yourself. Then decide on an action plan if you need one.
6. Remember: You know that some actions speak louder than words. Consider what is necessary for success and put aside personal feelings when they are not going to help to achieve success.

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Additional training can be found Online at www.uab.edu/equityanddiversity/



University of Alabama at Birmingham Enterprise

CODE OF CONDUCT

Effective Date October 1, 2011, Revised 10/4/2023

Background

The University of Alabama at Birmingham (UAB) Enterprise is committed to conducting its affairs in ways that promote mutual trust and public confidence. All members of the UAB community are responsible for sustaining the highest ethical standards of excellence, integrity, honesty, and fairness and for integrating these values into teaching, research, patient care, business practices, and other services. Ethical conduct is a fundamental expectation for every UAB community member.

Scope

The UAB Enterprise consists of multiple legal entities engaging in activities in support of its tri-part educational, research and patient care mission. Recognizing that the entities pursue various lines of business, the entities comprising UAB Enterprise will adopt the standards set forth in this Code of Conduct individually. All entities that have adopted these standards are collectively referred to here as "UAB." This Code of Conduct applies to all members of the UAB community, including faculty, staff, volunteers, contractors, agents, affiliates, and others providing services to UAB or on behalf of UAB.

Students or trainees taking courses, attending classes, or enrolled in academic programs are expected to adhere to UAB policies governing academic and non-academic conduct. These student-oriented policies support and reflect the standards of conduct expected of other members of the UAB community described in this Code of Conduct. Residents and fellows are considered to be employees for purposes of the code and are expected to uphold its standards like other faculty and staff.

Standards of Conduct

The UAB Code of Conduct is a shared statement of commitment to uphold the ethical, professional, and legal standards used as the basis for daily and long-term decisions and actions. Adherence to its spirit, as well as its specific provisions, is critical to UAB's continued success. Each member is individually accountable for his or her own actions, and the UAB community is collectively accountable for upholding these standards of behavior and for compliance with applicable laws and policies that guide UAB's work.

Members of the UAB community commit to the following eight standards:

1. Provide quality education, research, healthcare, business interactions, and other services

UAB is committed to providing outstanding, high-quality services to our students, patients, families, visitors, business partners, colleagues, affiliates, and the community, whether those services are provided through teaching, research, patient care, or business interactions. In performing duties, UAB community members are expected to:

- Act with high ethical and professional standards of conduct.
- Be honest in performing one's duties, with no exceptions.
- Ask questions and request assistance when information is needed to properly perform one's duties.
- Be personally accountable for one's actions and admit mistakes when they occur.
- Be aware of UAB's obligations towards all stakeholders.
- Conscientiously fulfill obligations towards all stakeholders; and
- Communicate to others ethical standards of conduct and responsibilities under this Code of Conduct through instruction and example.

UAB community members are not to:

- Fabricate information.
- Change or knowingly omit information to misrepresent events, circumstances, results, or outcomes in relevant records; or
- Take credit for another's work or work product as one's own without permission.

With respect to teaching and research, UAB community members are expected to:

- Promote academic freedom, including the freedom to discuss all relevant matters in the classroom and to explore all avenues of scholarship, research, and creative expression.
- Propose, conduct, and report research with integrity and honesty.
- Protect people and humanely treat animals involved in teaching or research.
- Undertake human subjects research only in accordance with approved protocols.
- Learn, follow, and demonstrate accountability for meeting requirements of regulatory bodies, sponsors, and partners.
- Faithfully transmit research findings.
- Protect rights to individual, UAB, and third-party intellectual property.
- Ensure originality of one's work and provide credit for the ideas of others upon which work is built.
- Be responsible for the accuracy and fairness of information reported and/or published; and
- Fairly assign authorship credit based on significant contributions.

With respect to patient care, UAB community members are expected to:

- Provide the highest quality of care by reaching for excellence.
- Do the right thing, at the right time, for the right person and have the best possible result; and
- Partner innovative medicine and technology with compassionate care that is safe, effective, patient-centered, timely, efficient, and equitable.

2. Treat individuals with respect

UAB is an institution dedicated to tolerance, diversity, and respect for differences. Central to that commitment is the principle of treating each UAB community member and those we serve with respect.

UAB community members are expected to:

- Be respectful, fair, and civil.
- Value diversity of opinion and contributions of others.
- Avoid all forms of harassment, illegal discrimination, threats, or violence.
- Provide equal opportunity for access to programs, facilities, and employment; and
- Promote conflict resolution.

3. Comply with applicable laws, regulations, and policies.

UAB is committed to sustaining a culture of trust, ethics, and compliance in which legal requirements are met and individuals are comfortable raising concerns to the appropriate individuals when they have a good faith belief that actions of individuals or an entity within the UAB Enterprise are not consistent with laws, regulations, policies, or standards. Additionally, UAB leadership is committed to maintaining the community trust by ensuring appropriate actions are taken to resolve non-compliance. UAB community members are expected to:

- Learn and follow the rules, laws, regulations, contracts, and UAB policies and procedures applicable to one's UAB work or activities.
- Be proactive to prevent and detect compliance violations.
- Report suspected compliance violations through standard management channels, beginning with one's immediate sponsor, instructor, or advisor or, if not appropriate because of that individual's involvement, to a higher level of management within one's unit, department, school, or entity, to Human Resources, to a compliance officer, or to the Ethics Matters Hotline; and
- Ensure that reports of suspected compliance violations within one's area of responsibility are properly resolved.

4. Use confidential information responsibly.

UAB community members are creators and custodians of various types of confidential, proprietary, and private information. Each UAB community member is required to comply with federal and state laws and regulations agreements with third parties and UAB policies pertaining to the use, protections, and disclosure of such information. UAB community members are expected to:

- Learn and follow all laws, UAB policies, and agreements with third parties regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information.
- Respect the privacy of all information records, whether student, employee, or patient.
- Follow document retention and disposal policies.
- Maintain information security using appropriate electronic and physical safeguards; and
- Fulfill any applicable requirements when one's relationship to UAB is terminated.

5. Acknowledge and appropriately manage conflicts of interest.

UAB community members who are UAB faculty and staff owe their primary professional allegiance to UAB and its mission to excel in the highest levels of education, patient care, research, and scholarship. UAB community members have an obligation to be objective and

impartial in making decisions on behalf of UAB. External professional activities, private financial interests, or the receipt of benefit from third parties can cause an actual or perceived conflict between UAB's interests and an individual's private interests. UAB community members are expected to:

- Accept benefits, awards, and prizes from external entities only in accordance with established UAB policies and standards.
- Disclose relationships with third parties, such as consulting, board membership, or professional services, in accordance with UAB's process to ensure objective judgment in purchasing, research, and other UAB business and to identify any potential or actual conflicts of interest.
- Adhere to any management plans created to manage conflicts of interest; and
- Ensure one's personal relationships do not interfere with objective judgment in decisions affecting UAB employment or academic progress of any UAB community member.

6. Safeguard and accurately account for UAB resources.

UAB is dedicated to responsible stewardship. UAB resources must be used for UAB business purposes and not for personal gain. All UAB accounts, financial reports, tax returns, expense reimbursements, time sheets, and other documents including those submitted to government agencies must be accurate, clear, and complete. All entries in UAB records must accurately reflect each transaction. UAB community members are expected to:

- Use UAB property, equipment, finances, materials, electronic and other systems, and other resources only for UAB purposes.
- Prevent waste and abuse.
- Promote efficient operations.
- Follow appropriate protocols for obligating UAB entities by contract/agreement.
- Follow sound financial practices, including accurate inventory accounting, financial reporting, responsible fiscal management, and internal controls; and
- Engage in appropriate accounting and monitoring.

7. Provide a safe environment.

UAB community members have a shared responsibility to ensure a safe, secure, and healthy environment for all UAB students, patients, faculty, staff, volunteers, and visitors. UAB community members are expected to:

- Promote personal safety and follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations.

- Maintain security, including securing UAB assets.
- Report suspicious activities; and
- Protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

8. Documents, code, bill, and collect in accordance with applicable rules and regulations.

As a comprehensive research enterprise and academic medical center, UAB must coordinate activities to ensure that clinical services and sponsored projects are billed appropriately and in compliance with relevant laws, regulations, and contractual obligations. UAB community members are expected to:

- Provide medically appropriate goods and services to the patients UAB serves.
- Render services within the scope of federal, state, and professional licensure guidelines and applicable staff by-laws.
- Substantiate goods and services provided with complete and accurate documentation in the medical record; and
- Accurate code and bill for services based on current payer and government standards.

Adherence to this code requires UAB community members to bring suspected violations of applicable laws, regulations, policies, and standards to the attention of the appropriate office. UAB treats every notice of suspected compliance violation very seriously and considers reports of suspected noncompliance to be a service to UAB. Reporting a compliance concern in good faith will not jeopardize one's employment. No such protection is extended to UAB community members reporting in bad faith.

UAB prohibits UAB community members from retaliating or allowing retaliation against another community member for reporting activities suspected of violating laws, regulations, contractual obligations, or UAB policy.

Confirmed violations of this Code of Conduct will result in appropriate consequences for the violators, up to and including termination of employment or other relationships with UAB.



UAB/UABHS HIPAA Privacy and Security

UABHS is glad to provide opportunities in support of your healthcare training and experience. However, you must respect our rules and procedures and, most especially, the privacy of our patients and the confidentiality of their information.

All information about patients is considered confidential whether it is on paper, in a computer, or spoken. This includes name, address, birth date, social security number, and any other personal information. It also includes the reason the patient is in the hospital or clinic, the treatments, and medications the patient is receiving, and details about past health conditions. Revealing any of this information to someone who does not need to know it violates the patient's confidentiality and is illegal.

During your time with us, you may be exposed to confidential patient information, known as protected health information or PHI. Do not share that information with anyone.

If you must view patient information to perform a UAB business-related task—like jobs performed by doctors, nurses, admitting and billing personnel, and other healthcare providers, then that access to patient information is allowed. However, access only the minimum amount of patient information necessary to fulfill your UAB business-related task.

If you do not need patient information to do your UAB work, then you should not view or access patient information in any form.

If you witness any activity that places the privacy of our patients at risk, report it to your sponsor or other UAB official.

Do not photocopy PHI or download PHI onto your laptop, personal computer, thumb drive, or other electronic media.

Do not include PHI in presentations or other assignments. PHI data elements include patient name, date of birth, address, phone number, social security number, photographs, and any other information that might identify the patient.

Do not relate any information about your work or experiences at UAB on social networking sites like Face Book, Twitter, Instagram, and Snapchat — even if you do not mention names.

After you complete your training experience at UAB, you are not allowed to take any PHI with you. Before beginning your training or health care experience at UAB, you must read and sign the UAB confidentiality statement. Please submit the signed document to your UAB sponsor or other UAB official.

Depending on your assignment, you may be asked to complete the UAB/UABHS HIPAA Privacy and Security Training.

UAB Enterprise Code of Conduct Attestation

These questions are your acknowledgement of having read and understood the Code, as well as commitment to the Code and the expectation of raising questions or concerns about applicable laws, regulations, and policies.

Having reviewed the UAB Enterprise Code of Conduct, please place a checkmark next to the following statement(s) to indicate your agreement.

1. I have read and understand the UAB Enterprise Code of Conduct, and I agree to abide by this Code.

Use an "x" to indicate correct answer:

☐ Yes

☐ No

2. I understand that, as a member of the UAB community, I am expected to raise questions or concerns about applicable laws, regulations, and policies to the appropriate university official through either my immediate manager or a manager at a higher level within my unit, Human Resources, a compliance officer, or the UAB Ethics Matters Hotline. The UAB Ethics Matters Hotline is available 24 hours a day, 7 days a week at 1-866-362-9476.

Use an "x" to indicate correct answer:

☐ Yes

☐ No

Print Name

Signature

Department

Date

If you answer "no" to either of the above questions, meet with your sponsor to address concerns before observing.



Confidentiality Agreement Form

IMPORTANT

Read all sections. If you have questions, please ask before signing. You will receive a copy of this Agreement and a copy will be placed in your personnel/academic program/project file.

- DISCLOSURE OF PROTECTED HEALTH/SENSITIVE/RESTRICTED INFORMATION -

I recognize that the services provided by UAB and UAB Health System and their Operating Entities (collectively referred to as "UAB") for its patients are private and confidential; that to enable UAB to perform those services, patients furnish information to UAB with the understanding that it will be kept confidential and used only by authorized persons as necessary in providing these services; that financial information, personnel data, trade secrets, and other sensitive information shall also be kept confidential; that the good will of UAB depends upon keeping this information confidential; that certain moral, ethical, and legal obligations are attached to this information; and that by reason of my duties or in the course of my employment, training, or time at UAB, I may receive or have access to verbal, written, or electronic information concerning patients, finances, personnel data, trade secrets, other sensitive information, or services performed by UAB even though I do not furnish the services or have direct access to the information. I agree to limit my access to patient information to that which is necessary to carry out my specific duties and responsibilities in my UAB role.

I hereby agree that, except as directed by UAB or by legal process, I will not at any time during or after my employment, training, observing, or during my duties at UAB, disclose any such services or information to any unauthorized person, or permit any such person to examine or make copies of any reports or other documents prepared by me, coming into my possession or control, or to which I have access, that concerns UAB in any way. I agree that I will not attempt to use any such information for my own advantage.

I recognize that the unauthorized disclosure of information by me may violate state or federal laws and do irreparable injury to UAB or to the patient, and that the unauthorized release of information may result in disciplinary action being taken against me, up to and including termination of employment, assignment, rights, or privileges at UAB. Civil and criminal penalties may be brought against me as a result of my unauthorized disclosure of information.

- SECURITY OF UAB INFORMATION/EQUIPMENT -

I agree that I will comply with all security and privacy regulations, policies, and procedures in effect at UAB.

I understand that all software used on a computer owned by UAB must be properly licensed and approved by UAB Administration for use on that computer. The use of unlicensed or unapproved software constitutes a serious risk to UAB operations. If I use or allow the use of any unlicensed or unapproved software or computer game on a UAB computer, I will be subject to disciplinary action or dismissal.

UAB computer applications are communication systems allowing access to retrieve protected health information or other sensitive data. If I am provided access to UAB systems, I understand that my user account is equivalent to my legal signature, and I will be accountable for all work done under this account. I acknowledge that my use of UAB information resources may be monitored/audited. I will not disclose my user account to anyone, nor will I attempt to learn another person's account. I will not access data on patients, finances, personnel, or trade secrets for which I have no responsibilities and for which I have no "need to know." If I have reason to believe that the confidentiality of my user account has been compromised, I will immediately contact my information services department.

By receiving a user account, I acknowledge and understand that I am responsible for proficient use of UAB computer applications. I further acknowledge and understand that my proficiency in using UAB computer applications is a condition of continued employment/assignment in my position and that failure to reach the required level of proficiency for my position within a reasonable time will bring about termination of employment/assignment. If I do not fully understand the application functions, I may contact my information services department for assistance.



I acknowledge that I have been made aware of UAB's confidentiality of information policies and procedures as set forth above. I have read all Sections of this Agreement, understand them, and agree to comply. I understand that my duties and responsibilities to maintain the confidentiality of information remain in effect even after leaving UAB.

Name (please print)

Position/Title

School/Department

Signature

Date

Unit

Signature of Witness

Date

Please indicate your role at UAB:

Employee

Volunteer

Independent Contractor

Business Associate _____

Temporary Employee

Student

Vendor

Observer

Other _____

Rules of Behavior for University of Alabama Birmingham Health System (UABHS) Information Systems

The following Rules of Behavior apply to all users of UABHS information systems regardless of organizational affiliation. These rules are intended to communicate IT related policy in a concise manner and are consistent with policy detailed in approved UABHS documents. They do not replace or supersede official UABHS policies and procedures that are made available on the Standards & Clinical Resources (SCR) web site at: <https://scr.hs.uab.edu/> and the I-JAB HIPAA web site at <http://www.hipaa.uab.edu/>

Definitions:

Information System - An integrated set of components (hardware and/or software) for collecting, storing, processing, and/or communicating information for a specific purpose.

Portable Devices - Equipment designed for mobility that are capable of processing, storing or transmitting electronic data. Such devices may interact with other networked systems, the internet, and/or desktop personal computers via some form of interconnection and/or synchronization process. They include, but are not limited to, laptops, tablets, cell phones, text messaging pagers, cameras, and peripherals that employ removable media (e.g., CDs, DVDs, USB flash memory drives, memory cards, and external hard drives).

Sensitive or Restricted Information or Data - Any information that may only be accessed by authorized personnel. This includes Protected Health Information, financial information, personnel data, trade secrets and any information that is deemed confidential or that would negatively affect the Health System if inappropriately handled. See the Data Protection and Security policy.

Phishing - The criminally fraudulent process of attempting to acquire sensitive information such as usernames, passwords and credit card details by masquerading as a trustworthy entity in an electronic communication.

System Access & Accountability:

- I understand that my access to UABHS information systems is contingent upon my acknowledgement of this Rules of Behavior form.
- I understand that my user credentials are equivalent to my legal signature, and I will be accountable for all work done under this account and adhere to all UABHS standards, policies, and procedures.
- I understand that I am approved to access only those systems for which I require access to perform my official duties.
- I will not attempt to access systems that I am not authorized to access or use credentials of which I am not the owner.
- I will not allow access to any system for someone other than myself using my credentials.
- I understand that I have no expectation of privacy while using any UABHS information system and that all my activities are subject to monitoring.
- I understand that while using UABHS information system resources I represent the I-JAB Health System and will conduct business in a professional manner.

Passwords & Other Access Control Measures:

- I will utilize passwords that comply with the UABHS Password Policy
- I will protect passwords and other access information from disclosure. I will not provide my password to anyone.
- I will not store authentication devices such as smart cards on or about workstations, laptop computers, or other devices and will remove them promptly whenever I leave my work area.
- I will promptly change initial/default passwords or whenever a compromise of my password is known or suspected.
- I will not attempt to bypass access control measures.
- I will not use my I-JAB Health System email address for any purposes that are not directly business-related.
- I will never use my UABMC password for other websites or accounts.

Data Protection:

- I understand that I am responsible for protecting restricted and sensitive information from disclosure to unauthorized persons (those without a need-to-know) in accordance with applicable UABHS information handling guidelines.
- I will not disable or circumvent UABHS technical security controls such as encryption, anti-virus, firewalls, monitoring, and administrative tools.
- I will not transfer restricted or sensitive information to an unencrypted or un-approved device.
- I will not transfer restricted or sensitive information to any recipient that has not been approved by Information Security.
- I understand that I have a responsibility to close or log off applications and systems after use.
- I will not store restricted or sensitive information on non-UABHS equipment such as personally-owned devices unless properly authorized to do so.

Internet & E-mail Use:

- I understand that my Internet and e-mail is for official use, with only limited personal use allowed.
- I will report phishing to the UABHS Office of Information Security using the phish alert button in Outlook or sending it to phishing@uabmc.edu.
- I will not use public e-mail, chat, or other Internet-based communication systems (e.g. AOL, Gmail, Yahoo, Hotmail) to communicate restricted or sensitive information, such as protected health information (PHI).
- I will not use file sharing, web proxy, VPN, or Internet-based backup/file storage web sites (e.g. Dropbox, Box, Carbonite, OneDrive, Google Drive, etc.) unless approved by the Office of Information Security.

- I will not provide any corporate information including credentials, types or names of systems, technical specifications, etc. to anyone outside of the I-JAB Health System.
- I will not distribute non-business mass mailings, viral e-mails or other spam to or from UABHS. I will not provide my credentials via email or in response to a link in any email
- I will not automatically forward my I-JAB Health System email to any other account.
- I will not forward PHI to any email address that does not end in uabmc.edu.
- I will not use artificial intelligence (AI) such as ChatGPT without authorization and will not enter restricted or sensitive information into an AI tool.

Software:

- I agree to comply with all applicable software licenses and copyrights.
- I will not install non-standard software on UABHS equipment without prior approval from Health System Information Services (HSIS). This includes software available for download from the Internet, the I-JAB campus website, and personally-owned software.
- I will not uninstall or disable any security controls.

Use of UABHS Equipment:

- I understand that UABHS equipment is to be used for official I-JAB Health System use, with only limited/incidental personal use as approved by my supervisor on the condition that it does not interfere with my job, deny others access to UABHS information systems, consume significant information system resources, and does not result in significant cost, legal or regulatory risk to UABHS. Examples of unacceptable use include viewing/processing pornography, large personal video/audio/photo libraries, copyright infringements, etc.

Portable Devices:

- I will enroll any cellular phone or tablet used to access I-JAB Medicine Enterprise networks and resources in approved Mobile Device Management software, which enforces use of a long passcode and applies other measures to prevent unauthorized access.
- I will not uninstall or disable I-JAB Medicine Enterprise Mobile Device Management or other security software unless directed to do so by I-ISIS.
- I will not take photographs or videos of patients without their written consent only if required for treatment or education. Any photo or video must be taken in a manner that ensures the patient cannot be identified. I will always obtain explicit verbal consent, if feasible. I will only use I-JAB Medicine Enterprise-approved applications (currently Cerner Camera Capture and Vocera Collaboration Suite).

Wireless Networking:

- I will not install a wireless router/access point.
- I will not attempt to connect any wired or wireless device to the UABHS network without proper authorization.
- I will not connect any device that has been approved to connect to the UABHS internal network (wired or wireless) to the UABHS public network.

Telecommuting (travel, home, or satellite office):

- At my alternate workplace, I will follow the same security policies as those required of me at I-JAB.
- I will properly dispose of media containing sensitive information in accordance to UABHS policy and procedure.

Incident Reporting:

- I will report IT security incidents to the UABHS Office of Information Security immediately at infosec@uabmc.edu.

Contacting the UABHS Office of Information Security:

The UABHS Office of Information Security can be reached by e-mail at infosec@uabmc.edu.



Acknowledgment Statement

I acknowledge that I have read the UABHS Rules of Behavior, I understand them, and I will comply with them. I understand that failure to comply with these rules as well as any applicable I-JAB policies, standards, procedures, security controls or regulations could result in disciplinary action against me including verbal or written warnings, removal of system access, reassignment to other duties, termination, and criminal or civil prosecution.

EMPLOYEE OR OTHER (PLEASE INDICATE THE STATUS OF THE UNDERSIGNED)

Name (printed):

Phone Number:

Work E-mail Address.

Company/Organization:

I-JAB Department.

Location or Address: _____

User's Signature

Date

Assumption of Risk and Hold Harmless Agreement

For, and in consideration of being permitted to participate as a volunteer/observer/shadow at any entity of UAB Medicine, I, the undersigned, in full recognition that a hospital/clinic environment may present various risks to health and safety, assume all the risks and responsibilities of my participation as a volunteer/observer/shadow, and any activities undertaken an adjunct thereto. Further, I do, for myself, my heirs, and personal representative(s) hereby agree to hold harmless, release, and forever discharge the Board of Trustees of the University of Alabama (the Board), the University of Alabama at Birmingham (UAB), every division thereof, including, but not limited to UAB Medicine entities, and all officers, employees, and agents, and the University of Alabama Health System, from any and all claims, demands, and actions, or causes of action, on account of damage to personal property, personal injury or death, which may result from my participation as a volunteer/observer/shadow, and which result from causes beyond the control of, and without the gross negligence of the Board and UAB, it's officers, employees or agents, and/or the University of Alabama Health System, during the period of my participation as a volunteer/observer/shadow at the UAB Medicine entities.

In witness whereof, I have caused this Assumption of Risk and Hold Harmless Agreement to be executed on this _____ day of _____ 20_____

_____	_____
Signature of Participant (If age 19 or older)	Date

_____	_____
Signature of Patient/Guardian	
(If Participant under 19 years of age.)	Date

_____	_____
Signature of UAB Medicine Sponsor	Date

Complete only if observing in the Emergency Department

Emergency Department Shadow Agreement

I, _____, understand that while I am shadowing in the Emergency Department, I **will not** participate in any patient care. I understand that, under no circumstance, shall I touch any patient, medical equipment, or bodily fluids. My only role is to observe in the Emergency Department only. **If I am asked to participate in any patient care, I will decline.**

I understand the rules regarding patient privacy and confidentiality under The Health Insurance Portability and Accountability Act (HIPAA). I agree to abide by all UAB rules and regulations related to patient privacy and to maintain the confidentiality of all information I may see, hear, or come contact with while shadowing in the Emergency Department.

I also understand that the video cameras are in use in Trauma Department and that my actions will be video-recorded for educational purposes.

Finally, if I have any questions, I will follow up with the Shift Leader/Assistant Nurse Manager, Nurse Professional Development Specialist, Nurse Manager or Director.

Signature of Participant

Date

Printed Name of Participant

Signature of Parent/Guardian of Participant

Date

Signature of Witness

Date

UAB HOSPITAL & AMBULATORY Observer Review of Symptoms Form

Sponsor or sponsor liaison to complete on observer's first day of observing and fax or email to UAB Hospital Employee Health Fax 975-6900 or scan/email to employeehealth@uabmc.edu.

Name of Observer _____ Today's Date _____

Observer's Date of Birth ____/____/____ SSN# ____-____-____

Location to Observe _____

Sponsor or sponsor liaison: Please review with the Observer and refer to Employee Health for evaluation if the answer is "Yes" to any of the questions. This does not necessarily mean the Observer cannot proceed with the planned activity.

- | | | |
|---|------------------------------|-----------------------------|
| 1. Any rash that is present within the last 2 weeks? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Fevers (temperature >38.3C or 101.5F)? > 24hrs | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. Persistent cough? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. Any upper respiratory infection symptoms like Influenza (coryza, eye pain, sore throat, sneezing?) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. Anorexia, hemoptysis, unintended weight loss in the last few weeks? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6. Current skin or soft tissue infection requiring treatment with systemic antimicrobials? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7. Active lice, scabies, or other mite infection? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8. Nausea, vomiting or diarrhea in the past 3 days? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

If any of the above symptoms occur during the period of the Observer's visit, please ask the Observer to contact Employee Health immediately at 205-934-3675.

Please Print Name of Sponsor

Signature of Sponsor

Observer Checklist Form

Last Name (print)

First Name (print)

MI

I. Bloodborne Pathogen/Aseptic Technique

- Bloodborne pathogens are pathogenic microorganisms that are present in human blood/body fluids and can cause disease in humans. These pathogens include, but are not limited to, hepatitis B virus (HBV) and human immunodeficiency virus (HIV).
- Observers should not handle or touch any blood or body fluids.
- Observers should report to the sponsor of the area for instructions related to special precautions to take during observation. This includes, but is not limited to, attire, aseptic technique, and departmental regulations that apply to visitor observation.
- Observers must respect the basic principles of aseptic technique. These principles include prevention of the contamination of the open wound, to isolate the operative site from the surrounding unsterile physical environment, and create and maintain a sterile field in which surgery can be performed safely. This may be achieved by strictly observing instructions given by the charge nurse. At no time should the observer stand near a sterile field or attempt to touch any items (clean, sterile, or dirty) that are used for patient care.
- It is vital that patients are protected from unexpected complications that could be caused by accidental contamination of the surgery or procedural area. It is also vital that observers are not exposed to bloodborne pathogens during observation in the Clinical areas. To ensure safety and protection for the patients, observers and visitors, certain guidelines must be followed.

II. I have read the above statement, signed all required forms and agree to abide by all relevant UAB Medicine standards of conduct and policies and procedures, to include policies regarding photography and confidentiality of information, while they are observing in Clinical Facilities.

I understand failure to comply may result in my immediate removal from the Clinical Facilities and restrictions on any future opportunities to observe.

Signature of Observer / Date

Orientation Checklist	Date	UAB Medicine Liaison Signature
<p>Employee Health: All observers <u>must</u> be cleared by Employee Health <u>prior to observing</u>. Sponsor Liaison call: 934-3675. 2 weeks prior to start. Fax 975-6900; Email: employeehealth@uabmc.edu</p> <p><input type="checkbox"/> <5 days: TB screening form and Flu (From 10/1 to 3/31). No in person appointment. <i>Send</i> required documentation to Employee Health via fax or email. https://acrobat.adobe.com/id/urn:aaid:sc:VA6C2:d fcf4cb2-28c6-4aaf-9d2f-72b22e4e8806</p> <p><input type="checkbox"/> ≥5 days: TB screening form; Vaccines: MMR (2), Varicella (2), TDap, HepB (3), Flu (until 3/31) Employee Health in person appointment required. Bring documentation and proof of vaccines.</p> <p><input type="checkbox"/> Complete Enrollment Form and TB Screening Form</p>	<p>MUST AWAIT CLEARANCE FROM EMPLOYEE HEALTH BEFORE OBSERVING.</p> <p>Date Cleared by Employee Health: _____</p>	
Observer Orientation Manual Review Completed		
Code of Conduct Attestation Form		
Confidentiality Agreement Signed		
Assumption of Risk and Hold Harmless Agreement (19 years of age or less must have parent's signature)	Not Applicable _____ Date _____	
Observer Badge Provided by Department must be visible at ALL times and must include: the UAB Medicine Entity Name, Observer's Name and Date(s) Observing.		
Observer Review of Systems Send completed form to Employee Health <u>ON THE FIRST DAY OF THE OBSERVER VISIT</u>		
HIPAA Training -If observing 5 days or longer, contact UAB Privacy Office, <i>Health System Information Services</i> 996-5051 for additional training required.		

This Observer has completed orientation, signed all required forms and their request to observe has been approved for _____ (to) _____ (**not more than 60 days**). *A copy of this complete form is given to the observer. Keep a copy of all signed documents in the department for two years; electronic files encouraged for easy retrieval.*

Approved by: _____ Title: _____ Date: _____

Sponsor Signature: _____ Title: _____ Date: _____