

**MERCYONE DES MOINES
MEDICAL CENTER**

CREDENTIALS POLICY

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CREDENTIALS POLICY

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ARTICLE 1

GENERAL

1.A. TIME LIMITS

Time limits referred to in this Policy and related policies and manuals are advisory only and are not mandatory, unless it is expressly stated.

1.B. DELEGATION OF FUNCTIONS

- (1) When a function is to be carried out by a member of Medical Center Administration, by a Medical Staff Leader or by a Medical Staff committee, the individual, or the committee through its chairperson, may delegate performance of the function to one or more designees.
- (2) When a Medical Staff or Allied Health Staff member is unavailable or unable to perform an assigned function, one or more of the Medical Staff Leaders may perform the function personally or delegate it to another appropriate individual.

1.C. CONFIDENTIALITY AND PEER REVIEW PROTECTION

1.C.1. Confidentiality:

All professional review activity and recommendations will be strictly confidential. No disclosures of any such information (discussions or documentation) may be made outside of the meetings of the committees charged with such functions, except:

- (a) to another authorized individual and for the purpose of conducting professional review activity;
- (b) as authorized by a policy; or
- (c) as authorized by the President of MercyOne Des Moines or by legal counsel to the Medical Center.

Specifically, National Practitioner Data Bank reports and peer references may not be shared with other entities or with the physician applicant. Any breach of confidentiality may result in appropriate sanctions, including but not limited to a professional review action or appropriate legal action. Breaches of confidentiality will not constitute a waiver of any privilege. Any member of the Medical Staff or Allied Health Staff who becomes aware of a breach of confidentiality is encouraged to inform the President of MercyOne Des Moines, the Chief Medical Officer, or the President of the Medical Staff (or the President-Elect of the Medical Staff if the President of the Medical Staff is the person committing the claimed breach).

1.C.2. Peer Review Protection:

All professional review activity will be performed by the peer review committees. Peer review committees include, but are not limited to:

- (a) all standing and ad hoc Medical Staff and Medical Center committees;
- (b) all departments;
- (c) hearing and appellate review panels;
- (d) the Board and its committees; and
- (e) any individual or body acting for or on behalf of a peer review committee, Medical Staff Leaders, and experts or consultants retained to assist in professional review activity.

All oral and written communications, reports, recommendations, actions, and minutes made or taken by peer review committees are confidential and covered by the provisions of applicable law and are deemed to be “professional review bodies” as that term is defined in the Health Care Quality Improvement Act of 1986, 42 U.S.C. §11101 et seq.

1.C.3. Confidentiality of Credentialing Information

Credentialing information is protected by key and badge access by approved staff. Electronic access to information is given only to approved staff.

1.D. INDEMNIFICATION

The Medical Center will provide a legal defense for, and will indemnify, all Medical Staff Leaders, peer review committees, members, and authorized representatives when engaged in those capacities, in accordance with applicable laws and the Medical Center’s Bylaws.

1.E. DEFINITIONS

The following definitions apply to terms used in this Policy:

- (1) “AFFILIATE” means the entities directly or indirectly controlled by the Medical Center, Mercy Health Services – Iowa, Corp. or Mercy Health Network, Inc.
- (2) “ALLIED HEALTH STAFF” means those providers (medical residents who moonlight, advanced registered nurse practitioners, physician assistants, psychologists) who are educationally and clinically prepared, and who have maintained competence in a discipline in which the Board has determined to allow to practice within the Medical Center or in an outpatient setting. Providers in this

category are licensed and permitted to provide patient care consistent with the clinical privileges granted. A listing of the categories of allied health professionals practicing at the Medical Center is included at Appendix A.

- (3) “APPLICANT” means any physician, dentist, podiatrist, psychologist, nurse practitioner, and physician assistant who has submitted an application for initial appointment or reappointment to the Medical Staff or the Allied Health Staff or for clinical privileges.
- (4) “BOARD” means the Board of Directors of the Medical Center, which has the overall responsibility for the Medical Center, or its designated committee.
- (5) “BOARD CERTIFICATION” is the designation conferred by one of the affiliated specialties of the American Board of Medical Specialties, the American Osteopathic Association, the American Board of Oral and Maxillofacial Surgery, or the American Board of Foot and Ankle Surgery, upon an individual, as applicable.
- (6) “CHIEF MEDICAL OFFICER” means the individual appointed by the Medical Center to act as the Chief Medical Officer of the Medical Center, in cooperation with the President of the Medical Staff.
- (7) “CLINICAL PRIVILEGES” or “PRIVILEGES” means the authorization granted by the Board to render specific clinical procedures and patient care services, subject to the provisions of this Policy.
- (8) “COMPLETED APPLICATION” means that all questions on the application form have been answered, all supporting documentation has been supplied, and all information has been verified from primary sources. An application will become incomplete if the need arises for new, additional, or clarifying information at any time. Any application that continues to be incomplete 30 days after the applicant has been notified of the additional information required will be deemed to be withdrawn.
- (9) “CREDENTIALS POLICY” means the Medical Center’s Medical Staff Credentials Policy.
- (10) “DAYS” means calendar days.
- (11) “DENTIST” means a doctor of dental surgery or doctor of dental medicine.
- (12) “MEDICAL CENTER” means the units, facilities, and service lines operated by Catholic Health Initiatives – Iowa, Corp. d/b/a/ MercyOne Des Moines Medical Center and MercyOne West Des Moines Medical Center.

- (13) “MEDICAL CENTER ADMINISTRATION” means the President of MercyOne Des Moines or his or her designee, including the administrator on call.
- (14) “MEDICAL EXECUTIVE COMMITTEE” means the Medical Executive Committee of the Medical Staff as set forth in the Medical Staff Bylaws.
- (15) “MEDICAL STAFF” means all physicians, dentists, and podiatrists who have been appointed to the Medical Staff by the Board.
- (16) “MEDICAL STAFF LEADER” means any Medical Staff officer, department chairperson, or committee chairperson.
- (17) “MEMBER” means a physician, dentist, or podiatrist who has been granted Medical Staff appointment or a psychologist, pharmacist, advanced practice nurse or physician assistant who has been granted Allied Health Staff appointment by the Board.
- (18) “NOTICE” means written communication by regular U.S. mail, e-mail, facsimile, or Medical Center mail.
- (19) “PATIENT CONTACTS” includes any admission, consultation, procedure, response to emergency call, evaluation, treatment, or service performed in any facility operated by the Medical Center, including outpatient facilities.
- (20) “PHYSICIAN” includes both doctors of medicine and doctors of osteopathy.
- (21) “PODIATRIST” means a doctor of podiatric medicine.
- (22) “PRESIDENT OF MERCYONE DES MOINES” means the individual appointed by the Board to act on its behalf in the overall management of the Medical Center.
- (23) “PRESIDENT OF THE MEDICAL STAFF” means the individual elected by the Medical Staff and appointed by the Board to act in coordination and cooperation with the Chief Medical Officer, the President of MercyOne Des Moines, and the Board in matters of mutual concern involving the care of patients in the Medical Center.
- (24) “PROFESSIONAL REVIEW ACTION” has the meaning defined in the Health Care Quality Improvement Act.
- (25) “PROFESSIONAL REVIEW ACTIVITY” has the meaning defined in the Health Care Quality Improvement Act.
- (26) “PSYCHOLOGIST” means an individual with a Pys.D. or Ph.D. in clinical psychology or neuropsychology.

- (27) “RESTRICTION” means a professional review action based on clinical competence or professional conduct which results in the inability of an individual to exercise his or her own independent judgment for a period longer than 30 days (for example, a mandatory concurring consultation, where the consultant must approve the proposed procedure or treatment before privileges may be exercised, or other requirement that another physician must agree before privileges can be exercised).
- (28) “SERVICE LINE” means Medical Staff members, Allied Health Staff members, and Medical Center personnel organized to collaboratively address the medical, mental/emotional, nutritional, social, and other needs of patients suffering from a particular condition or group of conditions. In the event any service lines are developed, until such time as the Medical Staff Bylaws, Rules and Regulations, and policies are amended to specifically address their organizational functions, they will be guided by the principles applicable to departments and will be entitled to the same confidentiality, privilege, indemnification, and immunity protections that apply to departments and their leaders.
- (29) “SPECIAL NOTICE” means hand delivery, certified mail (return receipt requested), or overnight delivery service providing receipt.
- (30) “SPECIAL PRIVILEGES” means clinical privileges that fall outside of the core privileges for a given specialty, which require additional education, training, or experience beyond that required for core privileges in order to demonstrate competence.
- (31) “SUPERVISING/COLLABORATING PHYSICIAN” means a member of the Medical Staff with clinical privileges, who has agreed in writing to supervise and to accept responsibility for the actions of an Allied Health Staff practitioner while he or she is practicing in the Medical Center.
- (32) “SUPERVISION/COLLABORATION” means the supervision of, or collaboration with, Allied Health Staff by a physician, that may or may not require the actual presence of the physician, but that does require, at a minimum, that the physician be readily available for consultation. The requisite level of collaboration or supervision (general, direct, or personal) will be determined at the time each Allied Health Staff member is credentialed and will be consistent with any applicable written supervision or collaboration agreement.
- (33) “SYSTEM” means the Medical Center and its Affiliates.
- (34) “TELEMEDICINE” is the provision of clinical services to patients by practitioners from a distance via electronic communications.
- (35) “UNASSIGNED PATIENT” means any individual who comes to the Medical Center for care and treatment who does not have an attending physician, or whose

attending physician or designated alternate is unavailable to attend the patient, or who does not want the prior attending physician to provide him/her care while a patient at the Medical Center.

ARTICLE 2

QUALIFICATIONS, CONDITIONS, AND RESPONSIBILITIES

2.A. QUALIFICATIONS

2.A.1. Threshold Eligibility Criteria / Pre-Application:

Any provider requesting privileges at MercyOne Des Moines Medical Center will be sent a Pre-Application to determine if threshold eligibility criteria (as detailed below) is met.

If any aspect of threshold eligibility criteria is not met, the provider is ineligible to apply for privileges/membership.

To be eligible to apply for initial appointment, reappointment or clinical privileges, an applicant must, as applicable:

- (a) have a current, unrestricted license to practice in Iowa that is not subject to any restrictions, probationary terms, or conditions not generally applicable to all licensees, and have never had a license to practice denied, revoked, restricted or suspended by any state licensing agency; have an application for Iowa licensure in at least 2nd review.
- (b) have never had an application for Medical Staff membership or clinical privileges not processed, nor had membership or privileges automatically relinquished, at the Medical Center or any of its Affiliates, due to an omission or misrepresentation;
- (c) have a current, unrestricted DEA registration and state-controlled substance license; acceptable exception to this criteria is forensic pathology;
- (d) be located (office and residence) close enough to fulfill Medical Staff responsibilities and to provide timely and continuous care for his or her patients in the Medical Center, as applicable;
- (e) have current, valid professional liability insurance coverage in a form and in amounts satisfactory to the Medical Center (minimum of \$1M/\$3M);
- (f) have never been, and not currently be, excluded or precluded from participation in Medicare, Medicaid, or other federal or state governmental health care program;
- (g) have never had Medical Staff or Allied Health Staff appointment, clinical privileges, or status as a participating provider denied, revoked, or terminated by any health care facility, including this Medical Center, or health plan for reasons related to clinical competence or professional conduct;

- (h) have never resigned Medical Staff or Allied Health Staff appointment or relinquished privileges during an investigation or in exchange for not conducting such an investigation at any health care facility, including this Medical Center;
- (i) have never been terminated from a post-graduate training program (residency or fellowship for physicians or a similarly equivalent program for other categories of practitioners), nor resigned from such a program during an investigation or in exchange for the program not conducting an investigation;
- (j) have not, within the last ten years, been required to pay a civil money penalty for governmental fraud or program abuse or been convicted of, or entered a plea of guilty or no contest to, any felony or misdemeanor related to: (i) controlled substances; (ii) illegal drugs; (iii) insurance or health care fraud (including Medicare, Medicaid or other federal or state governmental or private third-party payer fraud or program abuse); (iv) violent acts; (v) sexual misconduct; (vi) moral turpitude; or (vii) child or elder abuse.
- (k) agree to fulfill all responsibilities regarding emergency call for their specialty;
- (l) have an appropriate alternate coverage arrangement, as determined by the Credentials Committee, with other members of the Medical Staff for those times when the individual will be unavailable, unless an exception is granted. Physicians must designate two physicians in the same specialty; allied health professionals do not need to specify alternate coverage arrangements as coverage would be handled by their supervising/collaborating physician. Exceptions to this requirement must be approved by the Credentials Committee and the Medical Executive Committee.
- (m) document compliance with all applicable training and educational protocols that may be adopted by the Medical Executive Committee and required by the Board, including, but not limited to, those involving electronic medical records or patient safety;
- (n) meet any current or future eligibility requirements that are applicable to the clinical privileges being sought or granted;
- (o) if applying for privileges in an area that is covered by an exclusive contract or arrangement, meet the specific requirements set forth in that contract;
- (p) demonstrate recent clinical activity in their primary area of practice, in an acute care hospital, during the last two years;
- (q) have successfully completed¹:

¹ This residency training requirement will be applicable only to those individuals who applied for initial staff appointment after July 2009. Members appointed prior to this date will be governed by the residency training requirement in effect at the time of their initial appointment.

- (i) a residency and, if applicable, fellowship training program approved by the Accreditation Council for Graduate Medical Education or the American Osteopathic Association in the specialty in which the applicant seeks clinical privileges;
 - (ii) a dental training program accredited by the Commission on Dental Accreditation of the American Dental Association;
 - (iii) a podiatric surgical residency program accredited by the Council on Podiatric Medical Education of the American Podiatric Medical Association; or
 - (iv) for Allied Health Staff, have satisfied the applicable training requirements as established by the Medical Center;
- (r) be certified in their primary area of practice at the Medical Center by the appropriate specialty/subspecialty board of the American Board of Medical Specialties, the American Osteopathic Association, the American Board of Oral and Maxillofacial Surgery, the American Dental Association, or the American Board of Foot and Ankle Surgery, as applicable. Applicants who are not board certified at the time of application but who have completed their residency or fellowship training within the last six years will be eligible for Medical Staff appointment. However, in order to remain eligible, those applicants must achieve board certification in their primary area of practice within six years from the date of completion of their residency or fellowship training²;
 - (s) maintain board certification in their primary area of practice at the Medical Center and, to the extent required by the applicable specialty/subspecialty board, satisfy recertification requirements. Recertification will be assessed at reappointment;³
 - (t) provide written explanation explain all time gaps of 60 days or more,
 - (u) include a valid, working business or personal e-mail for communication, and
 - (v) register for and utilize communication platform approved by the MEC

2.A.2. Waiver of Threshold Eligibility Criteria:

- (a) Any applicant who does not satisfy one or more of the threshold eligibility criteria may request that it be waived. Waivers of threshold eligibility criteria will not be

² This board certification requirement will be applicable only to those individuals who apply for initial staff appointment after July 2009. Members appointed prior to this date will be governed by the board certification requirements in effect at the time of their initial appointment.

³ This requirement for maintenance of certification will be applicable only to those individuals who apply for initial staff appointment after July 1, 2009. After the effective date of this Credentials Policy, the requirement for maintenance of certification can be met through the same Board as original certification or through the National Board of Physicians and Surgeons.

granted routinely. The applicant requesting the waiver bears the burden of demonstrating exceptional circumstances, and that his or her qualifications are equivalent to, or exceed, the criterion in question.

- (b) A request for a waiver must be submitted to the Credentials Committee for consideration. In reviewing the request for a waiver, the Credentials Committee may consider the specific qualifications of the applicant in question, input from the relevant chair, and the best interests of the Medical Center and the communities it serves. Additionally, the Credentials Committee may, in its discretion, consider the application form and other information supplied by the applicant.
- (c) The Credentials Committee will forward its recommendation, including the basis for such, to the Medical Executive Committee. Any recommendation to grant a waiver must include the specific basis for the recommendation.
- (d) The Medical Executive Committee will review the recommendation of the Credentials Committee and make a recommendation to the Board regarding whether to grant or deny the request for a waiver. Any recommendation to grant a waiver must include the specific basis for the recommendation.
- (e) The Board's determination regarding whether to grant a waiver is final. A determination not to grant a waiver is not a "denial" of appointment or clinical privileges and the individual who requested the waiver is not entitled to a hearing. A determination to grant a waiver in a particular case is not intended to set a precedent. A determination to grant a waiver does not mean that appointment will be granted, only that processing of the application can begin.

2.A.3. Factors for Evaluation:

The following factors will be evaluated as part of the appointment and reappointment processes:

- (a) relevant training, experience, and demonstrated current competence, including medical/clinical knowledge, technical and clinical skills, clinical judgment and an understanding of the contexts and systems within which care is provided;
- (b) adherence to the ethics of the profession, continuous professional development, an understanding of and sensitivity to diversity, and responsible attitude toward patients and the profession;
- (c) good reputation and character;
- (d) ability to safely and competently perform the clinical privileges requested;
- (e) ability to work harmoniously with others, including, but not limited to, interpersonal and communication skills sufficient to enable them to maintain

professional relationships with patients, families, and other members of health care teams; and

- (f) recognition of the importance of, and willingness to support, a commitment to quality care and recognition that interpersonal skills and collegiality are essential to the provision of quality patient care.

2.A.4. No Entitlement to Appointment:

No one is entitled to receive an application, be appointed, reappointed or be granted or exercise particular clinical privileges at the Medical Center merely because he or she:

- (a) is employed by this Medical Center or its subsidiaries or has a contract with this Medical Center;
- (b) is or is not a member or employee of any particular physician group;
- (c) is licensed to practice a profession in this or any other state;
- (d) is a member of any particular professional organization;
- (e) has had in the past, or currently has, medical staff or allied health staff appointment or privileges at any hospital or health care facility;
- (f) resides in the geographic service area of the Medical Center; or
- (g) is affiliated with, or under contract to, any managed care plan, insurance plan, health maintenance organization, preferred physician organization or other entity.

2.A.5. Nondiscrimination:

No one will be denied appointment or clinical privileges on the basis of gender, race, creed, ethnic identity, age, national origin, sexual orientation, language, or physical disability. Medical Staff Services provides ongoing monitoring for any complaints regarding possible discrimination.

2.A.6. Ethical and Religious Directives:

All members will abide by the terms of the Ethical and Religious Directives for Catholic Health Care Services promulgated by the National Conference of Catholic Bishops with respect to their practice at the Medical Center. No member will engage in activity prohibited by the Directives at the Medical Center.

2.B. GENERAL CONDITIONS OF APPOINTMENT, REAPPOINTMENT, AND CLINICAL PRIVILEGES

2.B.1. Basic Responsibilities and Requirements:

As a condition of being granted appointment, reappointment or clinical privileges and as a condition of ongoing appointment and maintenance of clinical privileges, every individual specifically agrees to the following:

- (a) to provide continuous and timely care;
- (b) to abide by the bylaws, policies, and rules and regulations of the Medical Center and Medical Staff and any revisions or amendments thereto;
- (c) to participate in Medical Staff affairs through committee service and participation in performance improvement and peer review activities, and to perform such other reasonable duties and responsibilities as may be assigned;
- (d) to be available on a continuous basis, either personally or by arranging appropriate coverage, to respond to the needs of inpatients and Emergency Department patients in a prompt manner. Appropriate coverage means coverage by another member of the Medical Staff with appropriate specialty-specific privileges as determined by the Credentials Committee. Compliance with this eligibility requirement means that the practitioner must document that he or she is willing and able to:
 - (1) respond within 15 minutes, via phone, to an initial STAT page from the Medical Center and respond within 30 minutes, via phone, to all other initial pages; and
 - (2) appear in person to attend to a patient within 45 minutes of being requested to do so (or more quickly based upon (i) the acute nature of the patient's condition or (ii) as required for a particular specialty as recommended by the Medical Executive Committee and approved by the Board);
- (e) to comply with clinical practice or evidence-based protocols pertinent to his or her medical specialty, as may be adopted by the Medical Executive Committee or document the clinical reasons for variance;
- (f) to obtain, when requested, an appropriate fitness for practice evaluation, which may include diagnostic testing (such as blood and/or urine test) or a complete physical, mental, and/or behavioral evaluation, as set forth in this Policy;
- (g) to participate in personal or phone interviews in regard to an application for initial appointment or reappointment, if requested;

- (h) to use the Medical Center sufficiently to allow continuing assessment of current competence;
- (i) to seek consultation whenever necessary;
- (j) to complete in a timely manner all medical and other required records;
- (k) to perform all services and to act in a cooperative and professional manner;
- (l) to promptly pay any applicable dues, assessments, or fines;
- (m) to utilize the Medical Center's electronic medical record system;
- (n) to satisfy continuing medical education requirements;
- (o) to attend and participate in any applicable orientation programs at the Medical Center before participating in direct patient care;
- (p) to comply with all applicable training and educational protocols that may be adopted by the Medical Executive Committee, including, but not limited to, those involving electronic medical records, patient safety, and infection control;
- (q) to maintain a current e-mail address with the Medical Staff Office, which will be the primary mechanism used to communicate all Medical Staff or Allied Health Staff information to the member;
- (r) to disclose conflicts of interest regarding relationships with pharmaceutical companies, device manufacturers, other vendors or other persons or entities as may be required by Medical Center or Medical Staff policies, including, but not limited to, disclosure of financial interests in any product, service, or medical device not already in use at the Medical Center that a Medical Staff member may request the Medical Center to purchase;
- (s) if the individual is a member of the Medical Staff who serves or plans to serve as a Supervising/Collaborating Physician to an Allied Health Staff practitioner, that the member of the Medical Staff will abide by the requirements and conditions of practice set forth in Article 8; and
- (t) if the individual is Allied Health Staff, he or she will abide by the conditions of practice set forth in Article 8.

2.B.2. Burden of Providing Information:

- (a) All applicants and members have the burden of producing information deemed adequate by the Medical Center for a proper evaluation of current competence, character, ethics, and other qualifications and for resolving any doubts.

- (b) Applicants have the burden of providing evidence that all the statements made and all information provided by the applicant in support of the application are accurate and complete.
- (c) An application will be complete when all questions on the application form have been answered, all supporting documentation has been supplied, and all information has been verified from primary sources. An application will become incomplete if the need arises for new, additional, or clarifying information. Any application that continues to be incomplete 30 days after the applicant has been notified of the additional information required may be deemed to be withdrawn.
- (d) Applicants are responsible for providing a complete application, including adequate responses from references and all information requested from third parties for a proper evaluation. An incomplete application will not be processed.
- (e) Applicants and members are responsible for notifying the President of the Medical Staff or the President of MercyOne Des Moines of any change in status or any change in the information provided on the application form. This information is required to be provided with or without request, at the time the change occurs, and includes, but not be limited to:
 - (1) any information on the application form;
 - (2) any threshold eligibility criteria for appointment or clinical privileges;
 - (3) any and all complaints, documents or other information known to the practitioner regarding, or changes in, licensure status or DEA controlled substance authorization or state-controlled substance license;
 - (4) changes in professional liability insurance coverage;
 - (5) the filing or settlement of a professional liability lawsuit against the practitioner;
 - (6) arrest, charge, indictment, conviction, or a plea of guilty or no contest in any criminal matter;
 - (7) exclusion or preclusion from participation in Medicare, Medicaid or any other federal or state healthcare program or any sanctions imposed with respect to the same; and
 - (8) any changes in the practitioner's ability to safely and competently exercise clinical privileges or perform the duties and responsibilities of appointment because of health status issues, including, but not limited to, impairment due to addiction (all of which will be referred for review under the policy on practitioner health).

2.C. APPLICATION

2.C.1. Information:

- (a) Application forms for appointment, reappointment, and clinical privileges will be approved by the Board, upon recommendation by the Credentials Committee and the Medical Executive Committee.
- (b) The applications for initial appointment, reappointment, and clinical privileges existing now and as may be revised are incorporated by reference and made a part of this Policy.
- (c) The application will contain a request for specific clinical privileges and will require detailed proof of the applicant's professional qualifications, such as procedure logs. The applicant will sign the application and certify that he or she is able to perform the privileges requested and the responsibilities of appointment.

2.C.2. Misstatements and Omissions:

- (a) Any misstatement in, or omission from, the application is grounds to stop processing the application. The applicant will be informed in writing of the nature of the misstatement or omission and permitted to provide a written response. The President of the Medical Staff and President of MercyOne Des Moines will review the response and determine whether the application should be processed further.
- (b) If appointment has been granted prior to the discovery of a misstatement or omission, appointment and privileges may be deemed to be automatically relinquished pursuant to this Policy.
- (c) No action taken pursuant to this section will entitle the applicant or member to a hearing or appeal.

2.C.3. Grant of Immunity and Authorization to Obtain/Release Information:

(a) Conditions Prerequisite to Application and Consideration:

As a condition of having a request for application considered or applying for appointment, reappointment, or clinical privileges, every individual accepts the terms set forth in this Section.

(b) Scope of Conditions:

The terms set forth in this Section:

- (1) commence with the individual's initial contact with the Medical Center, whether an application is furnished or appointment or clinical privileges are granted;
- (2) apply throughout the credentialing process and the term of any appointment, reappointment, or clinical privileges; and
- (3) survive for all time, even if appointment, reappointment, or clinical privileges are denied, revoked, reduced, restricted, suspended, or otherwise affected as part of the Medical Center's professional review activities and even if the individual no longer maintains appointment or clinical privileges at the Medical Center.

(c) Use and Disclosure of Information about Individuals:

(1) Information Defined:

For purposes of this Section, "information" means information about the individual, regardless of the form (which will include verbal, electronic, and paper), which pertains to the individual's appointment, reappointment, or clinical privileges, or the individual's qualifications for the same, including, but not limited to:

- (i) information pertaining to the individual's clinical competence, professional conduct, reputation, ethics, and ability to practice safely with or without accommodation;
- (ii) any matter addressed on the application form or in the Medical Staff Bylaws, Credentials Policy, and other Medical Center or Medical Staff policies and rules and regulations;
- (iii) any reports about the individual which are made by the Medical Center, its Medical Staff Leaders, or their representatives to the National Practitioner Data Bank or relevant state licensing boards/agencies; and
- (iv) any references received or given about the individual.

(3) Authorization to Share Information within the System:

The individual authorizes the Medical Center and its Affiliates to share information with one another.

(4) Authorization to Obtain Information from Third Parties:

The individual authorizes the Medical Center, Medical Staff Leaders, and their representatives to request or obtain information from third parties and specifically authorizes third parties to release information to the Medical Center.

(5) Authorization to Disclose Information to Third Parties:

The individual authorizes the Medical Center, Medical Staff Leaders, and their representatives to disclose information to other hospitals, health care facilities, managed care organizations, government regulatory and licensure boards or agencies, and their representatives to assist them in evaluating the individual's qualifications.

(6) Access to Information by Individuals

(i) Upon request, applicants will be informed of the status of their applications for appointment, or clinical privileges.

(ii) Except during the hearing and appeal processes, which are governed by Articles 7 and 8 of this Policy, an individual may review information obtained or maintained by the Medical Center only upon request and only if the identity of the individual who provided the information will not be revealed.

(iii) If an individual disputes any information obtained or maintained by the Medical Center, the individual may submit, in writing, a correction or clarification of the relevant information which will be maintained in the individual's file.

(d) Hearing and Appeal Procedures:

The individual agrees that the hearing and appeal procedures set forth in this Policy will be the sole and exclusive remedy with respect to any professional review action taken by the Medical Center.

(e) Immunity:

To the fullest extent permitted by law, the individual releases from any and all liability, extends immunity to, and agrees not to sue the Medical Center, the Board, and the Medical Staff, their authorized representatives, any members of the Medical Staff, Allied Health Staff, or Board, and any third party who provides information.

This immunity covers any actions, recommendations, reports, statements, communications, or disclosures that are made, taken, or received by the Medical

Center, its representatives, or third parties in the course of credentialing and peer review activities or when using or disclosing information as described in this Section. Nothing herein will be deemed to waive any other immunity or privilege provided by federal or Iowa law.

(f) Legal Actions:

If, despite this Section, an individual institutes legal action challenging any credentialing, privileging, peer review, or other professional review action or activity and does not prevail, he or she will reimburse the Medical Center, the Board, and the Medical Staff, their authorized representatives, any members of the Medical Staff, or Allied Health Staff, or Board, and any third party who provides information involved in the action for all costs incurred in defending such legal action, including costs and attorneys' fees, and expert witness fees.

ARTICLE 3

PROCEDURE FOR INITIAL APPOINTMENT AND PRIVILEGES

3.A. PROCEDURE FOR INITIAL APPOINTMENT AND PRIVILEGES

3.A.1. Application:

- (a) Prospective applicants will be sent the application form and a letter that outlines the threshold eligibility criteria for appointment and the applicable criteria for clinical privileges by CredentiaSource, a Credentials Verification Organization (the “CVO”).
- (b) A completed application form with copies of all required documents must be returned to the CVO within 30 days after receipt. The application must be accompanied by the application fee.
- (c) Applications may be provided to residents who are in the final six months of their training. Final action on an application will not be taken until all applicable threshold eligibility criteria are satisfied.

3.A.2. Initial Review of Application:

- (a) As a preliminary step, the application will be reviewed by the CVO to determine that all questions have been answered and that the applicant satisfies all threshold eligibility criteria. Applicants who fail to return completed applications or fail to meet the threshold eligibility criteria will be notified by the CVO that their applications will not be processed. A determination of ineligibility does not entitle the individual to a hearing and appeal.
- (b) The CVO will oversee the process of gathering and verifying relevant information and confirming that all references and other information deemed pertinent have been received. A special peer reference verification, to include dates of attendance, will be sent to the Program Director for all new applicants that have been out of training for one year or less. Electronic signatures accepted if via a platform such as DocuSign.
- (c) The CVO is responsible for obtaining and primary source verifying credentialing data. The CVO will perform primary source verification for the following: (i) education and training; (ii) military services, as applicable; (iii) professional licensure; (iv) DEA registration and State CDS/CSA certification; (v) board certification; (vi) affiliation and work history, as applicable; (vii) criminal background check; (viii) sanctions disclosure; (ix) health status; (x) National Practitioner Data Bank; (xi) malpractice insurance; (xii) professional references; (xiii) Social Security Death Master File; and (xiv) National Plan and Provider

Enumeration System. The following credentialing information is primary source verified: education and training, professional licensure, CSA, board certification, sanction disclosures, Social Security Death Master File, and National Plan and Provider Enumeration System. Equivalent sources or other reliable secondary sources may be utilized if there is a documented attempt to contact the primary source.

- (d) As part of the credentialing process, evidence of the applicant's character, professional competence, qualifications, behavior, and ethical standing will be examined. This information may be contained in the application, and obtained from references and other available sources, including the applicant's past or current department chairperson at other health care entities, residency training director, and others who may have knowledge about the applicant's education, training, experience, and ability to work with others. The National Practitioner Data Bank and the Office of Inspector General, Medicare/Medicaid Exclusions will be queried, as required, and a criminal background check will be obtained.
- (e) An interview(s) with the applicant may be conducted. The purpose of the interview is to discuss and review any aspect of the applicant's application, qualifications, and requested clinical privileges. This interview will be conducted by one or any combination of any of the following: department chairperson, the Credentials Committee, a Credentials Committee representative, the Medical Executive Committee, the President of the Medical Staff, Chief Medical Officer, or the President of MercyOne Des Moines.

3.A.3. Department Chairperson Action:

All completed applications are presented to the Department Chair for review and recommendation. The Department Chair reviews the application to ensure that it fulfills the established standards for membership and/or clinical privileges. The Department Chair, in consultation with the Medical Staff professionals, determines whether the application is forwarded as a Type I or Type 2 application. The Department Chair may obtain input, if necessary, from an appropriate subject matter expert. If a Department Chair believes a conflict of interest exists that might preclude his/her ability to make an unbiased recommendation s/he will defer to the Vice Chair for review and recommendation.

- a. The Department Chair forwards to the Credentials Committee the following:
 - i. A recommendation as to whether the application should be acted on as a Type I or Type 2 application.
 - ii. A recommendation as to whether to approve the applicant's request for membership and/or privileges; to approve membership but modify the requested privileges; or deny membership and/or privileges;
 - iii. A recommendation to define those circumstances which require monitoring and evaluation of clinical performance after initial granting of clinical privileges;
 - iv. Comments to support these recommendations.

3.A.4. Credentials Committee Action:

If the application is designated Type 1, it is presented to the Credentials Committee for review and recommendation. The Credentials Committee reviews the application to ensure that it fulfills the established standards for membership and/or clinical privileges. The Credentials Committee has the opportunity to determine whether the application is forwarded as a Type 1 or may change the designation to a Type 2. If the Credentials Committee concurs with the Type 1 designation, the application and the recommendation are presented to the MEC for review and recommendation. If designated as a Type 2, the Credentials Committee reviews the application at its next scheduled meeting and forwards the following to the MEC:

- a. A recommendation to approve the applicant's request for membership and/or privileges; to approve membership but modify the requested privileges; or deny membership and/or privileges; and
- b. A recommendation to define those circumstances which require monitoring and evaluation of clinical performance after the initial granting of privileges.
- c. Comments to support these recommendations.

3.A.5 Medical Executive Committee (MEC) Action

If the applicant is designated Type 1, the application is presented to the MEC following quorum requirements established in section 6.B.3 of the Bylaws. The Chief / President of the Medical Staff has the opportunity to determine whether the application is forwarded as a Type 1, or may change the designation to a Type 2. If the application is determined by the MEC to be a Type 2, the application is referred back to the Credentials Committee. The Type 2 application would then be reviewed at the next regularly scheduled MEC meeting. The application is reviewed to ensure that it fulfills the established standards for membership and/or clinical privileges. The MEC forwards the following to the Board:

- a. A recommendation as to whether the application should be acted on as a Type 1 or Type 2;
- b. A recommendation to approve the applicant's request for membership and/or clinical privileges; to approved membership but modify the requested privileges; or deny membership and/or clinical privileges; and
- c. A recommendation to define those circumstances which require monitoring and evaluation of clinical performance after the initial granting of clinical privileges.
- d. Comments to support these recommendations.

Whenever the MEC makes an adverse recommendation to the Board, a special notice stating the reason will be sent to the applicant who shall then be entitled to the procedural rights provided in Article 7 of this policy (Investigation, Corrective Action, Hearing and Appeal Plan).

3.A.6 Board Action

The Board reviews the application and votes for one of the following actions:

- a. If the application is designated by the MEC as Type 1, it is presented to the Board or an appropriate subcommittee of at least two (2) members where the application is reviewed to ensure that it fulfills the established standards for membership and/or clinical privileges. If the Board or subcommittee agrees with the recommendations of the MEC, the application is approved, and the requested membership and/or privileges are granted for a period not to exceed twenty-four (24) months. If a subcommittee takes the action, it is reported to the entire Board at its next scheduled meeting. If the Board or subcommittee disagrees with the recommendation, then the procedure for processing Type 2 applications will be followed.
- b. If the application is designated as a Type 2, the Board reviews the application and votes for one of the following actions:
 - i. The Board may adopt or reject in whole or in part a recommendation of the MEC or refer the recommendation to the MEC for further consideration stating the reasons for such referral back and setting a time limit within which a subsequent recommendation must be made. If the Board concurs with the applicant's request for membership and/or clinical privileges it will grant the appropriate membership and/or clinical privileges for a period not to exceed twenty-four (24) months;
 - ii. If the Board's action is adverse to the applicant, a special notice stating the reason will be sent to the applicant who shall then be entitled to the procedural rights provided in Article 7 of this policy (Investigation, Corrective Action, Hearing and Appeal Plan).
 - iii. The Board shall take final action in the matter as provided in Article 7 of this policy (Investigation, Corrective Action, Hearing and Appeal Plan).
- c. Notice of Final Decision: Notice of the Board's final decision shall be given, through the CEO and Hospital President to the MEC and to the Chair of each Department concerned. The applicant shall receive written notice of appointment and special notice of any adverse final decisions in a timely manner. A decision and notice of appointment includes the staff category to which the applicant is appointed, the Department to which s/he is assigned, the clinical privileges s/he may exercise, the timeframe of the appointment, and any special conditions attached to the appointment.

3.A.7 Time Periods for Processing

All individual and groups acting on an application for staff appointment and/or clinical privileges must do so in a timely and good faith manner, and, except for good cause, each application will be processed within 180 calendar days. A recommendation shall be made to the MEC within sixty (60) days of a complete application.

These time periods are deemed guidelines and do not create any right to have an application processed within these precise periods. If the provisions of Article 7 of this policy (Investigation,

Corrective Action, Hearing and Appeal Plan) are activated, the time requirements provided therein govern the continued processing of the application.

Guidelines utilized to determine processing of the application includes:

- (a) Type I Applications: The application is complete, there are no discrepancies in the information received, no negative or questionable recommendations, no disciplinary actions, or legal sanctions on the query of the NPDB, OIG, SAM, FSMB, and/or other documents. There are no issues identified regarding liability claims history. The applicant completed a normal education/training sequence, submitted a reasonable request for clinical privileges based on experience, training, demonstrated competence, minimum criteria for privileges are met, applicant reports an acceptable health status, and history reflects an ability to relate to others in a collegial manner.
- (b) Type II Applications: The application is incomplete, there is lack of appropriate documentation to support clinical privileges requested, there are discrepancies and/or negative recommendations and/or peer references, there are unprofessional conduct or quality of care concerns, there are legal sanctions are identified on query of the databanks, or licensure disciplinary actions. Liability claims history reflects three or more claims/settlements/judgments in the past five years. There are time gaps present without further clarification, voluntary or involuntary termination of Medical Staff Membership or evidence that the applicant no longer serves on a provider panel of a managed care entity for reasons of unprofessional conduct or quality-of-care issues. There are additional concerns or questions by the Department Leader.

ARTICLE 4

CLINICAL PRIVILEGES

4.A. CLINICAL PRIVILEGES

4.A.1. General:

- (a) Appointment or reappointment will not confer any clinical privileges or right to practice at the Medical Center. Only those clinical privileges granted by the Board may be exercised, subject to the terms of this Policy.
- (b) A request for privileges will be processed only when an applicant satisfies threshold eligibility criteria for the delineated privileges. An individual who does not satisfy the eligibility criteria for clinical privileges may request that the criteria be waived.
- (c) Requests for clinical privileges that are subject to an exclusive contract or arrangement will not be processed except as consistent with the applicable contract. Similarly, requests for clinical privileges will not be processed if the Medical Center has determined not to accept an application in the specialty or service.
- (d) Recommendations for clinical privileges will be based on consideration of the following:
 - (1) education, relevant training, experience, and demonstrated current competence, including medical/clinical knowledge, technical and clinical skills, judgment, interpersonal and communication skills, and professionalism with patients, families, and other members of the health care team and peer evaluations relating to these criteria;
 - (2) appropriateness of utilization patterns;
 - (3) ability to perform the privileges requested competently and safely;
 - (4) information resulting from ongoing and focused professional practice evaluation and other performance improvement activities, as applicable;
 - (5) availability of coverage in case of the applicant's illness or unavailability;
 - (6) adequate professional liability insurance coverage for the clinical privileges requested;
 - (7) the Medical Center's available resources and personnel;

- (8) any previously successful or currently pending challenges to any licensure or registration, or the voluntary or involuntary relinquishment of such licensure or registration;
 - (9) any information concerning professional review actions or voluntary or involuntary termination, limitation, reduction, or loss of appointment or clinical privileges at another hospital;
 - (10) practitioner-specific data as compared to aggregate data, when available;
 - (11) morbidity and mortality data, when available; and
 - (12) professional liability actions, especially any such actions that reflect an unusual pattern or number of actions.
- (e) An applicant has the burden of establishing qualifications and current competence for clinical privileges requested.
 - (f) The report of the relevant department chairperson will be processed as a part of the application for privileges.
 - (g) A member may, either in connection with reappointment or at any other time, request modification of staff category or department assignment by submitting a written request to the President of the Medical Staff. Such requests will be processed in substantially the same manner as provided in initial appointment.
 - (h) Requests for additional clinical privileges must state the additional clinical privileges requested and provide information sufficient to establish eligibility. If the member is eligible and the request is complete, it will be processed in the same manner as an application for initial clinical privileges.

4.A.2. Resignation of Limited Clinical Privileges:

A request to resign limited clinical privileges must provide a basis for the request. All such requests will be processed in the same manner as a request for limited clinical privileges, as described above.

4.A.3. Resignation of Appointment and Clinical Privileges:

A request to resign **all** clinical privileges should (a) specify the desired date of resignation; (b) affirm that the individual has completed all medical records; and (c) affirm that the individual will be able to appropriately discharge or transfer responsibility for the care of any hospitalized patient. After consulting with the President of the Medical Staff, the President of MercyOne Des Moines will act on the request.

4.A.4. Expansion (Increase or Addition) of Clinical Privileges

(a) Physicians Seeking Expansion (Increase/Addition) of Clinical Privileges

Any practitioner seeking clinical privileges (including training for new privileges under a precepting arrangement) to provide care, treatment, or services must first be granted permission to do so by the governing body based upon a recommendation by the Medical Executive Committee.

Requests for clinical privileges are processed only when the potential applicant meets the governing body's current minimum threshold criteria as applicable to the practitioner's specialty area. Potential applicants who do not meet these criteria will not have their applications processed. In the event there is a request for a privilege for that introduces a new service / technology for which there is no established criteria, the governing body must determine whether it will allow the service/technology/privilege in question in accordance with established policies and procedures (for developing privilege criteria and introducing new services and new technology).

Physicians who do not meet established eligibility criteria because they cannot demonstrate the requisite experience and correlating competence for the requested new/expansion of privileges may be allowed to learn new skills through a preceptor or proctor arrangement in accordance with this policy. (*refer to the Expansion of Privileges: Precepting or Proctoring for Physicians Policy*)

(b) Advanced Practice Professionals (APPs) Seeking Expansion (Increase/Addition) of Clinical Privileges:

Any Advanced Practice Professional (APP) seeking clinical privileges (including privileges under direct supervision) to provide care, treatment, or services must first be granted permission to do so by the governing body based upon a recommendation by the Medical Executive Committee.

Requests for clinical privileges are processed only when the potential APP applicant meets the governing body's current minimum threshold criteria. Potential APP applicants who do not meet these criteria will not have their applications processed. In the event there is a request for a privilege for which there is no established criteria for APPs and/or the privileges were previously granted to physicians only, the governing body must determine whether it will allow APPs the privilege in question. If the governing body allows the privilege for APPs, criteria will be developed in accordance with medical staff policy.

APPs who do not meet established eligibility criteria and cannot demonstrate the requisite competence for the requested expansion of privileges may be allowed to "train up" (precept) through privileges granted under direct supervision of their collaborating

or supervising physician or designee. (*refer to the Expansion of Privileges: “Train Up” (Preceptorship) for Advanced Practice Professionals Policy*)

4.A.5. Clinical Privileges for New Procedures:

- (a) Requests for clinical privileges to perform either a procedure not currently being performed at the Medical Center or a new technique to perform an existing procedure (“new procedure”) will not be processed until a determination has been made that the procedure will be offered by the Medical Center and criteria for the clinical privilege(s) have been adopted.
- (b) As an initial step in the process, the individual seeking to perform the new procedure will prepare and submit a report to the department chairperson and the Credentials Committee addressing the following:
 - (1) minimum education, training, and experience necessary to perform the new procedure safely and competently;
 - (2) clinical indications for when the new procedure is appropriate;
 - (3) whether there is empirical evidence of improved patient outcomes with the new procedure or other clinical benefits to patients;
 - (4) whether proficiency for the new procedure is volume-sensitive and if the requisite volume would be available;
 - (5) whether the new procedure is being performed at other similar hospitals and the experiences of those institutions; and
 - (6) whether the Medical Center currently has the resources, including space, equipment, personnel, and other support services, to safely and effectively perform the new procedure.

The department chairperson and the Credentials Committee will review this report, conduct additional research as necessary, and make a preliminary recommendation as to whether the new procedure should be offered at the Medical Center.

- (c) If the preliminary recommendation is favorable, the Credentials Committee will then develop threshold credentialing criteria to determine those individuals who are eligible to request the clinical privileges. In developing the criteria, the Credentials Committee may conduct additional research and consult with experts, as necessary, and develop recommendations regarding:
 - (1) minimum education, training, and experience necessary to perform the procedure or service;

- (2) the clinical indications for when the procedure or service is appropriate; and
 - (3) the manner in which the procedure would be reviewed as part of the Medical Center's ongoing and focused professional practice evaluation activities.
- (d) The Credentials Committee will forward its recommendations to the Medical Executive Committee, which will review the matter and forward its recommendations to the Board for final action.

4.A.6. Clinical Privileges That Cross Specialty Lines:

- (a) Requests for clinical privileges that previously have been exercised only by members in another specialty will not be processed until the steps outlined in this section have been completed and a determination has been made regarding the member's eligibility to request the clinical privilege(s) in question.
- (b) As an initial step in the process, the individual seeking the privilege will submit a report to the Credentials Committee that specifies the minimum qualifications needed to perform the procedure safely and competently, whether the individual's specialty is performing the clinical privilege at other similar hospitals, and the experiences of those other hospitals.
- (c) The Credentials Committee will then conduct additional research and consult with experts, as necessary, including those on the Medical Staff (e.g., chairpersons, individuals on the Medical Staff with special interest and/or expertise) and those outside the Medical Center (e.g., other hospitals, residency training programs, specialty societies).
- (d) The Credentials Committee may or may not recommend that individuals from different specialties be permitted to request the clinical privileges at issue. If it recommends that individuals from different specialties be permitted to request clinical privileges, the Credentials Committee may develop recommendations regarding:
 - (1) the minimum education, training, and experience necessary to perform the clinical privileges in question;
 - (2) the clinical indications for when the procedure is appropriate;
 - (3) the manner of addressing the most common complications that arise, which may be outside of the scope of the clinical privileges that have been granted to the requesting individual;
 - (4) the manner in which the procedure would be reviewed as part of the Medical Center's ongoing and focused professional practice evaluation activities

(which may include assessment of both long-term and short-term outcomes for all relevant specialties); and

- (5) the impact, if any, on emergency call responsibilities.
- (e) The Credentials Committee will forward its recommendations to the Medical Executive Committee, which will review the matter and forward its recommendations to the Board for final action.

4.A.7. Clinical Privileges for Dentists:

- (a) Prior to admission of a patient for dental or oral surgery, the dentist/oral surgeon must ensure a baseline history and physical is performed by a Member of the Medical Staff or the Allied Health Staff in accordance with the Medical Staff Bylaws.
- (b) For any patient who meets the classifications of ASA 1 (normal, healthy patients) or ASA 2 (patients with mild systemic disease with no functional limitations), dentists may admit the patient and perform an update of the history and physical examination and assess the medical risks of the procedure on the patient, if they are deemed qualified to do so by the Credentials Committee and Medical Executive Committee. They must, nevertheless, have an agreement with a physician on the Medical Staff (established and declared in advance) who is available to respond should any medical issue arise with the patient.
- (c) For any patient who meets ASA 3 or ASA 4 classifications, an update of the medical history and physical examination of the patient will be made and recorded by a physician who is a member of the Medical Staff before dental surgery may be performed. In addition, a designated physician will be responsible for the medical care of the patient throughout the period of hospitalization.
- (d) The dentist will be responsible for the dental surgery care of the patient, including the appropriate history and physical examination, as well as all other appropriate elements of the patient's record. Dentists may write orders within the scope of their licenses and consistent with relevant Medical Center policies and rules and regulations.

4.A.8. Clinical Privileges for Podiatrists:

- (a) Prior to admission of a patient for podiatric surgery, the podiatrist must ensure a baseline history and physical is performed in accordance with the Medical Staff Bylaws.
- (b) Podiatrists may admit the patient and perform an update of the history and physical examination and assess the medical risks of the procedure on the patient, if they are deemed qualified to do so by the Credentials Committee and Medical Executive

Committee. They must, nevertheless, have an agreement with a physician on the Medical Staff who is available to respond should any medical issue arise with the patient.

- (c) The podiatrist will be responsible for the podiatric surgery care of the patient, including the appropriate history and physical examination, as well as all other appropriate elements of the patient's record. Podiatrists may write orders within the scope of their licenses and consistent with relevant Medical Center policies and rules and regulations.

4.A.9. Physicians and Other Practitioners in Training:

- (a) Physicians and other practitioners in training, including but not limited to medical students, advanced practice nurses, and physician assistants in training programs ("Trainees"), will not be granted appointment to the Medical Staff or clinical privileges. The program director, clinical faculty, or attending staff member will be responsible for the direction and supervision of the on-site or day-to-day patient care activities of each Trainee, who will be permitted to perform only those clinical functions set out in curriculum requirements, affiliation agreements, or training protocols approved by the Medical Executive Committee or its designee, and the Graduate Medical Education Committee of the Medical Center. The applicable program director will be responsible for verifying and evaluating the qualifications of each Trainee.
- (b) Individuals who are in a residency training program and who wish to moonlight (outside of the training program) may be granted specific privileges as set forth in this Policy. A resident who is moonlighting must comply with the institutional and program training requirements. Failure to comply with these requirements or termination from the residency program will result in the automatic relinquishment of clinical privileges, without a right to the hearing and appeal procedures.

4.A.10. Telemedicine Privileges:

- (a) Telemedicine is the provision of clinical services to patients by practitioners from a distance via electronic communications.
- (b) A qualified individual may be granted telemedicine privileges but need not be appointed to the Medical Staff.

- (c) Requests for initial or renewed telemedicine privileges will be processed through one of the following options, as determined by the President of MercyOne Des Moines in consultation with the President of the Medical Staff:
- (1) A request for telemedicine privileges may be processed through the same process for Medical Staff and Allied Health Staff applications, as set forth in this Policy. In such case, the individual must satisfy all qualifications and requirements set forth in this Policy, except those relating to geographic location, coverage arrangements, and emergency call responsibilities.
 - (2) If the individual requesting telemedicine privileges is practicing at a distant hospital that participates in Medicare or a telemedicine entity (as that term is defined by Medicare), and the hospital or telemedicine entity is accredited by The Joint Commission, a request for telemedicine privileges may be processed using an alternative process that relies on the credentialing and privileging decisions made by the distant hospital or telemedicine entity. In such cases, the Medical Center must ensure, through a written agreement that the distant hospital or telemedicine entity complies with all applicable Medicare regulations and accreditation standards. The distant hospital or telemedicine entity must provide:
 - (i) confirmation that the practitioner is licensed in the state where the Medical Center is located;
 - (ii) a current list of privileges granted to the practitioner;
 - (iii) information indicating that the applicant has actively exercised the relevant privileges during the previous 12 months and has done so in a competent manner;
 - (iv) a signed attestation that the applicant satisfies all of the distant hospital or telemedicine entity's qualifications for the clinical privileges granted;
 - (v) a signed attestation that all information provided by the distant hospital or telemedicine entity is complete, accurate, and up-to-date; and
 - (vi) any other attestations or information required by the agreement or requested by the Medical Center.

This information received about the individual requesting telemedicine privileges will be provided to the Medical Executive Committee for review and recommendation and to the Board for final action. Notwithstanding the process set forth in this subsection, the Medical Center may determine that an applicant for

telemedicine privileges is ineligible for appointment or clinical privileges if the applicant fails to satisfy the threshold eligibility criteria set forth in this Policy.

- (d) Telemedicine privileges, if granted, will be for a period of not more than two years.
- (e) Individuals granted telemedicine privileges will be subject to the Medical Center's peer review activities. The results of the peer review activities, including any adverse events and complaints filed about the practitioner providing telemedicine services from patients, other practitioners or staff, will be shared with the hospital or entity providing telemedicine services.
- (f) Telemedicine privileges granted in conjunction with a contractual agreement will be incident to and coterminous with the agreement.

4.A.11. Initial Focused Professional Practice Evaluation:

- (a) All initial granting of clinical privileges, whether at the time of appointment, reappointment, or during the term of an appointment, will be subject to an initial focused professional practice evaluation (FPPE) by a physician(s) designated by chairperson.
- (b) This initial focused professional practice evaluation (FPPE) may include chart review, monitoring, proctoring, external review, and other information. For physician proctoring, it is acceptable to utilize multiple proctors if needed. If there is a request to utilize a proctor that is not privileged on the medical staff, a request must be made to, and approved, by the Credentialing Committee. The clinical activity requirements, including numbers and types of cases to be reviewed, will be determined by the Department Chairs and endorsed by the Credentials Committee. The physician assigned as the FPPE monitor is responsible for selecting records for review and completing the evaluation in a timely manner in accordance with the bylaws.
- (c) A newly appointed member's appointment and privileges will expire if he or she fails to fulfill the clinical activity requirements within the time frame recommended by the Credentials Committee. In such case, the individual may not reapply for initial appointment or privileges for two years.
- (d) If a member who has been granted additional clinical privileges fails to fulfill the clinical activity requirements within the time frame recommended by the Credentials Committee, the additional clinical privileges will expire and the member may not reapply for the privileges in question for two years.
- (e) When, based upon information obtained through the initial focused professional practice evaluation process, a recommendation is made to terminate, revoke, or restrict clinical privileges for reasons related to clinical competence or professional conduct, the member will be entitled to a hearing and appeal.

4.B. TEMPORARY CLINICAL PRIVILEGES

4.B.1. Temporary Clinical Privileges:

- (a) Temporary privileges may be granted by the President of MercyOne Des Moines, upon recommendation of the President of the Medical Staff, to:
 - (1) applicants for initial appointment whose complete application is pending review by the Medical Executive Committee and Board, following a favorable recommendation of the Credentials Committee. In order to be eligible for temporary clinical privileges, an applicant must have demonstrated ability to perform the clinical privileges requested and have had no (i) current or previously successful challenges to licensure or registration or (ii) involuntary restriction, reduction, denial or termination of membership or clinical privileges at another health care facility; and
 - (2) non-applicants, when there is an important patient care, treatment, or service need, including the following:
 - (i) the care of a specific patient;
 - (ii) when necessary to prevent a lack of services in a needed specialty area;
 - (iii) proctoring; or
 - (iv) when serving as a locum tenens for a member of the Medical Staff or Allied Health Staff.
- (b) The following verified information will be considered prior to the granting of any temporary clinical privileges: current licensure, relevant training, experience, current competence, current professional liability coverage acceptable to the Medical Center, and results of a query to the National Practitioner Data Bank.
- (c) The grant of temporary clinical privileges will not exceed 120 days.
- (d) For non-applicants, who are granted temporary locum tenens privileges, the individual may exercise locum tenens privileges for a maximum of 120 days, consecutive or not, anytime during the 24-month period following the grant of privileges, subject to the following conditions:
 - (1) the individual must notify the Medical Staff Office at least 15 days prior to exercising these privileges (exceptions for shorter notice periods may be considered in situations involving health issues); and

- (2) the individual must inform the Medical Staff Office of any change that has occurred to the information provided on the application form for locum tenens privileges.
- (e) Prior to any temporary clinical privileges being granted, the individual must agree in writing that he or she is subject to and shall abide by the bylaws, policies, and rules and regulations of the Medical Staff and the Medical Center and any revisions or amendments thereto.
- (f) The granting of temporary clinical privileges is a courtesy that may be withdrawn by the President of MercyOne Des Moines at any time, after consulting with the President of the Medical Staff, the chairperson of the Credentials Committee or the chairperson of the department.
- (g) The department chairperson or the President of the Medical Staff will assign to another member of the Medical Staff responsibility for the care of patients until they are discharged. Whenever possible, consideration will be given to the wishes of the patient in the selection of a substitute physician.

4.C. EMERGENCY SITUATIONS

- (1) For the purpose of this section, an “emergency” is defined as a condition which could result in serious or permanent harm to patient(s) and in which any delay in administering treatment would add to that harm.
- (2) In an emergency situation, a member may administer treatment to the extent permitted by his or her license, regardless of department status or specific grant of clinical privileges.
- (3) When the emergency situation no longer exists, the patient will be assigned by the department chairperson or the President of the Medical Staff to a member with appropriate clinical privileges, considering the wishes of the patient.

4.D. DISASTER PRIVILEGES

- (1) When the disaster plan has been implemented and the immediate needs of patients in the facility cannot be met, the President of MercyOne Des Moines or the President of the Medical Staff may use a modified credentialing process to grant disaster privileges to eligible licensed independent practitioners who want to function as volunteers (“volunteers”). Safeguards must be in place to verify that volunteers are competent to provide safe and adequate care.
- (2) Disaster privileges are granted on a case-by-case basis after verification of identity and licensure.

- (a) A volunteer's identity may be verified through a valid government-issued photo identification (i.e., driver's license or passport).
 - (b) A volunteer's license may be verified in any of the following ways: (1) current Medical Center picture ID card that clearly identifies the individual's professional designation; (2) current license to practice; (3) primary source verification of the license; (4) identification indicating that the individual has been granted authority to render patient care in disaster circumstances or is a member of a Disaster Medical Assistance Team, the Medical Resource Corps, the Emergency System for Advance Registration of Volunteer Health Professionals, or other recognized state or federal organizations or groups; or (5) identification by a current Medical Center employee or Medical Staff or Allied Health Staff member who possesses personal knowledge regarding the individual's ability to act as a volunteer during a disaster.
- (3) Primary source verification of a volunteer's license will begin as soon as the immediate situation is under control and must be completed within 72 hours from the time the volunteer begins to provide service at the Medical Center.
 - (4) In extraordinary circumstances when primary source verification cannot be completed within 72 hours, it should be completed as soon as possible. In these situations, there must be documentation of the following: (a) the reason primary source verification could not be performed in the required time frame; (b) evidence of the volunteer's demonstrated ability to continue to provide adequate care; and (c) an attempt to obtain primary source verification as soon as possible. If a volunteer has not provided care, then primary source verification is not required.
 - (5) The Medical Staff will oversee the care provided by volunteer licensed independent practitioners. This oversight will be conducted through direct observation, mentoring, clinical record review, or other appropriate mechanism developed by the Medical Staff and Medical Center.

4.E. CONTRACTS FOR SERVICES AND EMPLOYED MEDICAL STAFF MEMBERS

- (1) From time to time, the Medical Center may enter into contracts or arrangements with practitioners and/or groups of practitioners for the performance of clinical and administrative services at the Medical Center. All individuals providing clinical services pursuant to such contracts will obtain and maintain clinical privileges at the Medical Center, in accordance with the terms of this Policy.
- (2) To the extent that:
 - (a) any such contract or arrangement confers the exclusive right to perform specified services to one or more practitioners or groups of practitioners, or

- (b) the Board by resolution or other arrangement limits the practitioners who may exercise clinical privileges in any clinical specialty to employees of the Medical Center and its Affiliates,

no other practitioners except those authorized by or pursuant to the contract or arrangement may exercise clinical privileges to perform the specified services while the contract or resolution is in effect. This means that only practitioners so authorized are eligible to apply for appointment or reappointment to the Medical Staff and for the clinical privileges in question. No other applications will be processed.

- (3) Prior to the Medical Center entering into any exclusive contract described in paragraph (2) in a specialty area that has not previously been subject to such a contract or arrangement, the Board will request the Medical Executive Committee to comment on the matter. The Medical Executive Committee (or a subcommittee of its members appointed by the President of the Medical Staff) will review the quality of care and service implications of the proposed exclusive contract or Board resolution and provide a report of its findings and recommendations to the Board within 30 days of the Board's request. As part of its review, the Medical Executive Committee (or subcommittee) may obtain relevant information concerning quality of care and service matters from (i) members of the applicable specialty involved, (ii) members of other specialties who directly utilize or rely on the specialty in question, and (iii) Medical Center administration. However, the actual terms of any such exclusive arrangement or employment contract, and any financial information related to them, including but not limited to the remuneration to be paid to Medical Staff members who may be a party to the arrangement, are not relevant and will neither be disclosed to the Medical Executive Committee nor be discussed as part of the Medical Executive Committee's review.
- (4) After receiving the Medical Executive Committee's report, the Board will determine whether (or not) to proceed with the exclusive contract or Board resolution. If the Board determines to do so, and if that determination would have the effect of preventing an existing Medical Staff member from exercising clinical privileges that had previously been granted, the affected member is entitled to the following notice and review procedures:
 - (a) The affected member will be given at least 30 days' advance notice of the exclusive contract or Board resolution and have the right to meet with the Board to discuss the matter prior to the contract in question being signed by the Medical Center or the Board resolution becoming effective.
 - (b) At the meeting, the affected member will be entitled to present any information that he or she deems relevant to the decision to enter into the exclusive contract or enact the Board resolution.

- (c) If, following this meeting, the Board confirms its initial determination to enter into the exclusive contract or enact the Board resolution, the affected member will be notified that he or she is ineligible to continue to exercise the clinical privileges covered by the exclusive contract or Board resolution. In that circumstance, the ineligibility begins as of the effective date of the exclusive contract or Board resolution and continues for as long as the contract or Board resolution is in effect.
 - (d) The affected member will not be entitled to any procedural rights beyond those outlined above with respect to the Board's decision or the effect of the decision on his or her clinical privileges, notwithstanding the provisions in Article 7 of this Policy.
 - (e) The inability of a physician to exercise clinical privileges because of an exclusive contract or resolution is not a matter that requires a report to the state licensure board or to the National Practitioner Data Bank.
- (5) Except as provided in paragraph (1), in the event of any conflict between this Policy or the Medical Staff Bylaws and the terms of any contract or arrangement, the terms of the contract or arrangement will control.

ARTICLE 5

PROCEDURE FOR REAPPOINTMENT

5.A. PROCEDURE FOR REAPPOINTMENT

All terms, conditions, requirements, and procedures relating to initial appointment will apply to continued appointment and clinical privileges and to reappointment.

5.B. REAPPOINTMENT CRITERIA

5.B.1. Eligibility for Reappointment:

To be eligible to apply for reappointment and renewal of privileges, an individual must have, during the previous term of appointment or privileges:

- (a) completed all medical records such that he or she is not delinquent, as per the Medical Staff Rules and Regulations and Medical Center policy, at the time he or she submits the application for reappointment or renewal of clinical privileges and, further, was not deemed delinquent (sufficient to result in the relinquishment of privileges) more than two times during the prior term of medical staff membership or clinical privileges;
- (b) completed all continuing medical education requirements;
- (c) satisfied all Medical Staff and Allied Health Staff responsibilities, including payment of any dues, fines, and assessments;
- (d) continued to meet all qualifications and criteria for appointment and the clinical privileges requested;
- (e) paid any applicable reappointment processing fee; and
- (f) had sufficient patient contacts to enable the assessment of current clinical judgment and competence for the privileges requested. Any member seeking reappointment who has minimal activity at the Medical Center must submit such information as may be requested (such as a copy of his or her confidential quality profile from his or her primary hospital, clinical information from his or her private office practice, or a quality profile from a managed care organization or insurer), before the application will be considered complete and processed further.

5.B.2. Factors for Evaluation:

In considering an application for reappointment, the factors listed in Section 2.A.3 of this Policy will be considered. Additionally, the following factors will be evaluated as part of the reappointment process:

- (a) compliance with the bylaws, rules and regulations, and policies of the Medical Staff and the Medical Center;
- (b) participation in Medical Staff duties, including committee assignments and emergency call;
- (c) the results of the Medical Center's performance improvement activities, taking into consideration practitioner-specific information compared to aggregate information concerning other individuals in the same or similar specialty (provided that, other practitioners will not be identified);
- (d) any ongoing or focused professional practice evaluations;
- (e) verified complaints received from patients or staff; and
- (f) other reasonable indicators of continuing qualifications.

5.C. REAPPOINTMENT PROCESS

5.C.1. Reappointment Application Form:

- (a) Appointment terms will not extend beyond two years.
- (b) An application for reappointment will be furnished by the CVO to members at least three months prior to the expiration of their current appointment term. The first request will request the member return the reappointment application within 30 days.
- (c) If, after 30 days, the reappointment application has not been returned, a second request is provided to the member to return the reappointment application within 30 days.
- (d) If, after 30 days, the reappointment application has still not been returned, a third and final request is provided to the member requesting return of the reappointment application within 15 days.
- (e) Failure to return a completed reappointment application within the above specified timeframe will result in the automatic expiration of appointment and clinical privileges at the end of the then current term of appointment.

- (f) The complete application will be reviewed by the Medical Staff Office to determine that all questions have been answered and that the member satisfies all threshold eligibility criteria for reappointment and for the clinical privileges requested.
- (g) The Medical Staff Office will oversee the process of gathering and verifying relevant information. The Medical Staff Office will also be responsible for confirming that all relevant information has been received.

5.C.2. Conditional Reappointments:

- (a) Recommendations for reappointment may be subject to an applicant's compliance with specific conditions. These conditions may relate to behavior (e.g., professional code of conduct) or to clinical issues (e.g., general consultation requirements, proctoring, completion of CME requirements). Reappointments may be recommended for periods of less than two years in order to permit closer monitoring of a member's clinical performance, professional conduct, and ongoing qualifications for appointment and privileges.
- (b) A recommendation of a conditional reappointment or for reappointment for a period of less than two years does not, in and of itself, entitle a member to request a hearing or appeal.
- (c) If questions or concerns are being addressed at reappointment, or if the applicant for reappointment is the subject of an investigation or a hearing at the time reappointment is being considered, a conditional reappointment for a period of less than two years may be granted pending the completion of that process.

5.C.3. Potential Adverse Recommendation:

- (a) If the Credentials Committee or the Medical Executive Committee is considering a recommendation to deny reappointment or to reduce clinical privileges, the committee chairperson will notify the member of the possible recommendation and invite the member to meet prior to any final recommendation being made.
- (b) Prior to this meeting, the member will be notified of the general nature of the information supporting the recommendation contemplated.
- (c) At the meeting, the member will be invited to discuss, explain, or refute this information. A summary of the interview will be made and included with the committee's recommendation.
- (d) This meeting is not a hearing, and none of the procedural rules for hearings will apply. The member will not have the right to be represented by legal counsel at this meeting.

ARTICLE 6

QUESTIONS INVOLVING MEDICAL STAFF OR ALLIED HEALTH STAFF MEMBERS

6.A. OVERVIEW AND GENERAL PRINCIPLES

6.A.1. Options Available to Medical Staff Leaders and Medical Center Administration:

- (a) This Policy empowers Medical Staff Leaders and Medical Center Administration to use various options to address and resolve questions that may be raised about members of the Medical Staff and the Allied Health Staff. The various options available to Medical Staff Leaders and Medical Center Administration and the mechanisms they may use when questions pertaining to competence, health or behavior are raised are outlined below and include, but are not limited to, the following:
 - (1) collegial intervention and progressive steps;
 - (2) ongoing and focused professional practice evaluations;
 - (3) mandatory meeting;
 - (4) fitness for practice evaluation (including blood and/or urine test);
 - (5) competency assessment;
 - (6) automatic relinquishment of appointment and clinical privileges;
 - (7) leaves of absence;
 - (8) precautionary suspension; and
 - (9) formal investigation.
- (b) In addition to these options, Medical Staff Leaders and Medical Center Administration also have the discretion to determine whether a matter should be handled in accordance with another policy (e.g., code of conduct policy, practitioner health policy, peer review policy) or should be referred to the Medical Executive Committee for further action.

6.A.2. Documentation:

- (a) Except as otherwise expressly provided, Medical Staff Leaders and Medical Center Administration may use their discretion to decide whether to document any meeting with an individual that may take place pursuant to the processes and procedures outlined in this Article.
- (b) A summary of documentation that is prepared for and maintained in the individual's confidential file may be shared with the individual; however, the identity of any person who prepared a complaint or written concern will not be shared. The individual will have an opportunity to review the summary of the documentation and respond to it. The initial documentation, along with any response that is submitted, will also be maintained in the individual's confidential file.

6.A.3. No Recordings of Meetings:

It is the policy of the Medical Center to maintain the confidentiality of all Medical Staff meetings, including, but not limited to, discussions relating to credentialing, quality assessment, performance improvement, and peer review activities. The discussions that take place at such meetings are private conversations that occur in a private place. In addition to existing bylaws and policies governing confidentiality, individuals in attendance at such meetings are prohibited from making audio or video recordings at such meetings unless authorized to do so in writing by the individual chairing the meeting or by the President of MercyOne Des Moines.

6.A.4. No Right to Counsel:

- (a) The processes and procedures outlined in this Article are designed to be carried out in an informal manner. Therefore, the individual may not be accompanied by a lawyer at any meeting that takes place pursuant to this Article. By agreement of the President of the Medical Staff and President of MercyOne Des Moines, an exception may be made to this general rule.
- (b) If the individual refuses to meet without his or her lawyer present, the meeting will be canceled and it will be reported to the Medical Executive Committee that the individual failed to attend the meeting.

6.A.5. No Right to the Presence of Others:

Peer review activities are confidential and privileged to the fullest extent permitted by law. Accordingly, the individual may not be accompanied by friends, relatives or colleagues when attending a meeting that takes place pursuant to this Article.

6.A.6. Involvement of Supervising/Collaborating Physician in Matters Pertaining to Allied Health Staff:

If any peer review activity pertains to the clinical competence or professional conduct of a member of the Allied Health Staff, the Supervising/Collaborating Physician may be notified and be invited to participate.

6.B. COLLEGIAL INTERVENTION AND PROGRESSIVE STEPS

- (1) The use of collegial intervention efforts and progressive steps by Medical Staff Leaders and Medical Center Administration is encouraged.
- (2) The goal of those efforts is to arrive at voluntary, responsive actions by the individual to resolve an issue that has been raised. Collegial efforts and progressive steps may be carried out within the discretion of Medical Staff Leaders and Medical Center Administration, but are not mandatory.
- (3) Collegial intervention efforts and progressive steps are part of the Medical Center's ongoing and focused professional practice evaluation activities and may include, but are not limited to, the following:
 - (a) sharing and discussing applicable policies, such as policies regarding appropriate behavior, emergency call obligations, and the timely and adequate completion of medical records;
 - (b) counseling, mentoring, monitoring, proctoring, consultation, and education;
 - (c) sharing comparative quality, utilization, and other relevant information, including any variations from clinical protocols or guidelines, in order to assist an individual to conform his or her practice to appropriate norms;
 - (d) communicating expectations for professionalism and behaviors that promote a culture of safety;
 - (e) informational letters of guidance, education, or counseling; and
 - (f) Performance Improvement Plans.

6.C. ONGOING AND FOCUSED PROFESSIONAL PRACTICE EVALUATION

- (1) Individuals who are granted clinical privileges, whether at the time of initial appointment, reappointment, or during the term of appointment, will be subject to an initial focused professional practice evaluation to confirm their competence.
- (2) All individuals who provide patient care services at the Medical Center will have their care evaluated on an ongoing basis. This ongoing professional practice evaluation process may include an analysis of data to provide feedback and to identify issues in an individual's professional performance, if any.

- (3) When concerns are raised about an individual's practice through the ongoing practice evaluation process or through a specialty-specific trigger, a reported concern, or other triggers (i.e., clinical trend or specific case that requires further review, patient complaint, corporate compliance issue, or sentinel event), a focused professional practice evaluation will be undertaken to evaluate the concern.

6.D. MANDATORY MEETING

- (1) Whenever there is a concern regarding an individual's clinical practice or professional conduct, Medical Staff Leaders may require the individual to attend a mandatory meeting.
- (2) Special notice will be given at least three days prior to the meeting and will inform the individual that attendance at the meeting is mandatory.
- (3) Failure of an individual to attend a mandatory meeting may result in an automatic relinquishment of appointment and privileges as set forth below.

6.E. FITNESS FOR PRACTICE EVALUATION

- (1) An individual may be requested to submit to an appropriate evaluation (such as blood and/or urine test), or a comprehensive fitness for practice evaluation which may include a physical, psychological, or cognitive assessment, to determine his or her ability to safely and competently practice.
- (2) A request for a fitness for practice evaluation may be made of an applicant during the initial appointment or reappointment processes or of a member during an investigation. A request for an **immediate** evaluation may also be made when at least two Medical Staff Leaders (or one Medical Staff Leader and one member of the Medical Center Administration) are concerned with the individual's ability to safely and competently care for patients.
- (3) The Medical Staff Leaders, Medical Center Administration, or committee that requests the evaluation will: (i) identify the health care professional(s) to perform the evaluation; (ii) inform the individual of the time period within which the evaluation must occur; and (iii) provide the individual with all appropriate releases and/or authorizations to allow the Medical Staff Leaders, or relevant committee, to discuss with the health care professional(s) the reasons for the evaluation and to allow the health care professional to discuss and report the results to the Medical Staff Leaders or relevant committee.
- (4) Failure to obtain the requested evaluation may result in an application being withdrawn or an automatic relinquishment of appointment and privileges as set forth below.

6.F. COMPETENCY ASSESSMENT

- (1) An individual may be requested to participate in a competency assessment to determine his or her ability to safely and competently practice.
- (2) A request for a competency assessment may be made of a member during the reappointment process, as part of the collegial intervention process, or during an investigation. The request may be made by Medical Staff Leaders, the Credentials Committee, the Medical Executive Committee, an Investigating Committee or the Professional Practice Evaluation Committee.
- (3) The Medical Staff Leaders or committee that requests the assessment will:
 - (i) identify the health care professional(s) to perform the assessment;
 - (ii) inform the individual of the time period within which the assessment must occur; and
 - (iii) provide the individual with all appropriate releases and/or authorizations to allow the Medical Staff Leaders, or relevant committee, to discuss with the health care professional(s) the reasons for the assessment and to allow the health care professional to discuss and report the results of the assessment to the Medical Staff Leaders or relevant committee.
- (4) Failure to obtain the requested assessment may result in an automatic relinquishment of appointment and privileges as set forth below.

6.G. AUTOMATIC RELINQUISHMENT

Any of the occurrences described in this Section will constitute grounds for the automatic relinquishment of an individual's appointment and clinical privileges. An automatic relinquishment is considered an administrative action and, as such, it generally does not trigger an obligation on the part of the Medical Center to file a report with the National Practitioner Data Bank. Medical Center legal counsel will recommend whether any relinquishment of appointment and privileges triggers an obligation on the part of the Medical Center to file a report.

Except as otherwise provided below, an automatic relinquishment of appointment and privileges will be effective immediately upon actual or special notice to the individual.

6.G.1. Failure to Complete Medical Records:

Failure of an individual to complete medical records, after notification by the medical records department of delinquency in accordance with applicable policies and rules and regulations, may result in automatic relinquishment of all clinical privileges.

6.G.2. Failure to Satisfy Threshold Eligibility Criteria:

Failure of an individual to continuously evidence satisfaction of any of the threshold eligibility criteria set forth in this Policy will result in automatic relinquishment of appointment and clinical privileges.

6.G.3. Criminal Activity:

The occurrence of specific criminal actions may, as recommended by the Medical Executive Committee and confirmed by the President of MercyOne Des Moines, result in the automatic relinquishment of appointment and clinical privileges. Specifically, an arrest, charge, indictment, conviction, plea of guilty or plea of no contest pertaining to any felony or misdemeanor involving the following may result in an automatic relinquishment: (a) Medicare, Medicaid, or other federal or state governmental or private third-party payer fraud or program abuse; (b) controlled substances; (c) illegal drugs; (d) violent act; (e) sexual misconduct; (f) moral turpitude; or (g) child or elder abuse.

6.G.4. Failure to Provide Information:

- (a) Failure of an individual to notify the President of the Medical Staff or President of MercyOne Des Moines of any change in any information provided on an application for initial appointment or reappointment may, as determined by the Medical Executive Committee, result in the automatic relinquishment of appointment and clinical privileges.
- (b) Failure of an individual to provide information pertaining to an individual's qualifications for appointment or clinical privileges in response to a written request from the Credentials Committee, the Medical Executive Committee, or any other authorized committee may, as determined by the Medical Executive Committee, result in the automatic relinquishment of appointment and clinical privileges until the information is provided to the satisfaction of the requesting party.

6.G.5. Failure to Attend a Mandatory Meeting:

Failure to attend a mandatory meeting requested by the Medical Staff Leaders or Medical Center Administration, after appropriate notice has been given, may, as determined by the Medical Executive Committee, result in the automatic relinquishment of appointment and clinical privileges. The relinquishment will remain in effect until the individual attends the mandatory meeting and reinstatement is granted as set forth below.

6.G.6. Failure to Complete or Comply with Training or Educational Requirements:

Failure of an individual to complete or comply with training and educational requirements that are adopted by the Medical Executive Committee and/or required by the Board,

including, but not limited to, those pertinent to electronic medical records or patient safety, will result in the automatic relinquishment of clinical privileges.

6.G.7. Failure to Comply with Request for Fitness for Practice Evaluation:

- (a) Failure of an applicant to undergo a requested fitness for practice evaluation or to execute any of the required releases (i.e., to allow the Medical Staff Leaders, or the relevant committee, to discuss with the health care professional(s) the reasons for the evaluation and to allow the health care professional to report the results to the Medical Staff Leaders or relevant committee) will be considered a voluntary withdrawal of the application.
- (b) Failure of a member to undergo a requested fitness for practice evaluation or to execute any of the required releases (i.e., to allow the Medical Staff Leaders, or the relevant committee, to discuss with the health care professional(s) the reasons for the evaluation and to allow the health care professional to report the results to the Medical Staff Leaders or relevant committee) will result in the automatic relinquishment of appointment and privileges.

6.G.8. Failure to Comply with Request for Competency Assessment:

Failure of a member to undergo a requested competency assessment or to execute any of the required releases (i.e., to allow the Medical Staff Leaders, or the relevant committee, to discuss with the health care professional(s) the reasons for the assessment and to allow the health care professional to report the results of the assessment to the Medical Staff Leaders or relevant committee) will result in the automatic relinquishment of appointment and privileges.

6.G.9. Reinstatement from Automatic Relinquishment and Automatic Resignation:

- (a) If an individual believes that the matter leading to the automatic relinquishment of appointment and privileges has been resolved within 90 days of the relinquishment, the individual may request to be reinstated.
- (b) A request for reinstatement from an automatic relinquishment following completion of all delinquent records will be processed in accordance with applicable policies and rules and regulations. Failure to complete the medical records that caused relinquishment within the time required will result in automatic resignation from the Medical Staff or Allied Health Staff.
- (c) Requests for reinstatement from an automatic relinquishment following the expiration or lapse of a license, controlled substance authorization, or insurance coverage will be processed by the Medical Staff Office. If any questions or concerns are noted, the Medical Staff Office will refer the matter for further review in accordance with (d) below.

- (d) All other requests for reinstatement from an automatic relinquishment will be reviewed by the relevant chairperson, the chairperson of the Credentials Committee, the President of the Medical Staff, the Chief Medical Officer, and the President of MercyOne Des Moines. If all these individuals make a favorable recommendation on reinstatement, the individual may immediately resume clinical practice at the Medical Center. This determination will then be forwarded to the Credentials Committee, the Medical Executive Committee, and the Board for ratification. If, however, any of the individuals reviewing the request have any questions or concerns, those questions will be noted and the reinstatement request will be forwarded to the full Credentials Committee, Medical Executive Committee and Board for review and recommendation.
- (e) Failure to resolve a matter leading to an automatic relinquishment within 90 days of the relinquishment, and to be reinstated as set forth above, will result in an automatic resignation from the Medical Staff or Allied Health Staff.

6.H. ACTIONS OCCURRING AT OTHER HOSPITALS AND FACILITIES WITHIN THE SYSTEM

- (1) Each hospital and health care facility within the System will share information regarding the implementation or occurrence of any of the following actions with all other hospitals and facilities within the System at which an individual maintains medical staff appointment, clinical privileges, or any other permission to care for patients:
 - (a) a professional review action;
 - (b) automatic relinquishment of appointment or clinical privileges;
 - (c) any involuntary modification of appointment or clinical privileges; and
 - (d) a Performance Improvement Plan.
- (2) Upon receipt of notice that any of the actions set forth in (1) have occurred at, or been implemented by, any other hospital or facility within the System, that action will automatically and immediately take effect at the Medical Center.
- (3) The effectiveness of an action at a hospital or facility within the System, as set forth above, may be waived by the Board of the Medical Center after its receipt of the recommendation of the Medical Executive Committee. The automatic effectiveness of the action will continue until such time as a waiver has been granted and the practitioner has been notified in writing of such. Waivers are within the discretion of the Board and are final. They will be granted only as follows:
 - (a) in exceptional circumstances;

- (b) based on a finding that the granting of a waiver will not affect patient safety, quality of care, or hospital operations; and
 - (c) after a full review of the specific circumstances and any relevant documents (including peer review documents) from the hospital or other facility where the action first occurred. The burden is on the practitioner to provide evidence showing that a waiver is appropriate.
- (4) Neither the automatic effectiveness of any action set forth in (1) at any hospital or facility within the System, nor the denial of a waiver pursuant to this Section, will entitle any individual to any procedural rights (including advance notice or additional peer review), formal investigation, hearing, or appeal.

6.I. LEAVES OF ABSENCE

6.I.1. Initiation:

- (a) A leave of absence of up to one year must be requested in writing and submitted to the President of the Medical Staff. The request should, when possible, state the beginning and ending dates and the reasons for the leave. Except in extraordinary circumstances, the request will be submitted at least 30 days prior to the anticipated start of the leave.
- (b) The President of the Medical Staff will determine whether a request for a leave of absence will be granted, after consulting with the relevant department chairperson. The granting of a leave of absence or reinstatement may be conditioned upon the individual's completion of all medical records.
- (c) Members of the Medical Staff or Allied Health Staff must report to the Chief Medical Officer or the President of the Medical Staff any time they are away from Medical Staff, Allied Health Staff, or patient care responsibilities for longer than 30 days and the reason for such absence is related to their physical or mental health or otherwise to their ability to care for patients safely and competently. Upon becoming aware of such circumstances, the Chief Medical Officer, in consultation with the President of the Medical Staff, may trigger an automatic medical leave of absence at any point after becoming aware of the Medical Staff member's absence from patient care.
- (d) Leaves of absence are matters of courtesy, not of right. In the event that it is determined that an individual has not demonstrated good cause for a leave, or where a request for extension is not granted, the determination will be final, with no recourse to a hearing and appeal.

6.I.2. Duties of Member on Leave:

During a leave of absence, the individual will not exercise any clinical privileges and will be excused from Medical Staff and Allied Health Staff responsibilities (e.g., meeting attendance, committee service, emergency service call obligations). The obligation to pay dues will continue during a leave of absence except that a member granted a leave of absence for U.S. military service will be exempt from this obligation.

6.I.3. Reinstatement:

- (a) Individuals requesting reinstatement will submit a written summary of their professional activities during the leave and any other information that may be requested by the Medical Center. Requests for reinstatement will then be reviewed by the relevant department chairperson, the chairperson of the Credentials Committee, the President of the Medical Staff, the Chief Medical Officer, and the President of MercyOne Des Moines.
- (b) If a favorable recommendation on reinstatement is made, the individual may immediately resume clinical practice. However, if any of the individuals reviewing the request have any questions, those questions will be noted and the reinstatement request will be forwarded to the full Credentials Committee, Medical Executive Committee, and Board.
- (c) If the leave of absence was for health reasons (except for maternity leave), the request for reinstatement must be accompanied by a report from the individual's physician indicating that the individual is capable of resuming a hospital practice and safely exercising the clinical privileges requested.
- (d) Absence for longer than one year will result in resignation of Medical Staff or Allied Health Staff appointment and clinical privileges unless an extension is granted by the President of the Medical Staff. Extensions will be considered only in extraordinary cases where the extension of a leave is in the best interest of the Medical Center.
- (e) If an individual's current appointment is due to expire during the leave, the individual's appointment and clinical privileges will expire at the end of the appointment period, and the individual will be required to apply for reappointment.

6.J. PRECAUTIONARY SUSPENSION OR RESTRICTION OF CLINICAL PRIVILEGES

6.J.1. Grounds for Precautionary Suspension or Restriction:

- (a) Whenever failure to take action may result in imminent danger to the health and/or safety of any individual, the President of MercyOne Des Moines, the President of the Medical Staff, the relevant department chairperson, the Chief Medical Officer, the Medical Executive Committee, or the Board chairperson is authorized to (1) afford the individual an opportunity to voluntarily refrain from exercising clinical privileges while the matter is being reviewed; or (2) suspend or restrict all or any portion of an individual's clinical privileges.
- (b) A precautionary suspension can be imposed at any time, including after a specific event, a pattern of events, or a recommendation by the Medical Executive Committee that would entitle the individual to request a hearing. When possible, prior to the imposition of a precautionary suspension, the person(s) considering the suspension will meet with the individual and review the concerns that support the suspension and afford the individual an opportunity to respond.
- (c) Precautionary suspension is an interim step in the professional review activity and does not imply any final finding regarding the concerns supporting the suspension.
- (d) A precautionary suspension is effective immediately and will be promptly reported to the President of MercyOne Des Moines and the President of the Medical Staff. A precautionary suspension will remain in effect unless it is modified by the President of MercyOne Des Moines.
- (e) Within three days of the imposition of a suspension, the individual will be provided with a brief written description of the reason(s) for the action, including the names and medical record numbers of the patient(s) involved (if any).
- (f) The relevant Supervising/Collaborating Physician will be notified when the affected individual is on the Allied Health Staff.

6.J.2. Medical Executive Committee Procedure:

- (a) Within a reasonable time, not to exceed 14 days of the imposition of the suspension, restriction, or voluntary agreement to refrain from exercising privileges, the Medical Executive Committee will review the reasons for the action.
- (b) As part of this review, the individual will be invited to meet with the Medical Executive Committee. In advance of the meeting, the individual may submit a written statement and other information to the Medical Executive Committee.

- (c) At the meeting, the individual may provide information to the Medical Executive Committee and should respond to questions that may be raised by committee members. The individual may also propose ways, other than precautionary suspension, restriction, or voluntary agreement to refrain from exercising privileges, to protect patients, employees or others while the matter is being reviewed.
- (d) After considering the reasons for the suspension and the individual's response, if any, the Medical Executive Committee will determine whether the precautionary suspension should be continued, modified, or lifted. The Medical Executive Committee may also determine whether to begin an investigation.
- (e) If the Medical Executive Committee decides to continue the suspension, restriction, or voluntary agreement to refrain from exercising privileges, it will send the individual written notice of its decision, including the basis for it.
- (f) There is no right to a hearing based on the imposition or continuation of a precautionary suspension, restriction, or voluntary agreement to refrain from exercising privileges. The procedures outlined above are deemed to be fair under the circumstances.
- (g) Upon the imposition of a precautionary suspension, the President of the Medical Staff will assign responsibility for the care of any hospitalized patients to another individual with appropriate clinical privileges. Whenever possible, consideration will be given to the wishes of the patient in the selection of a covering physician.

6.K. INVESTIGATIONS

6.K.1. Initial Review:

- (a) Whenever a serious question has been raised, or where collegial efforts have not resolved an issue regarding the following, the matter may be referred to the President of the Medical Staff, the department chairperson, the chairperson of a standing committee, the Chief Medical Officer, the President of MercyOne Des Moines, or the chairperson of the Board:
 - (1) clinical competence or clinical practice, including patient care, treatment or management;
 - (2) the safety or proper care being provided to patients;
 - (3) the known or suspected violation of ethical standards or the bylaws, policies, rules and regulations of the Medical Center or the Medical Staff;
or
 - (4) conduct that is considered lower than the standards of the Medical Center, undermines the Medical Center's culture of safety, or is disruptive to the

orderly operation of the Medical Center, its Medical Staff or its Allied Health Staff, including the inability of the member to work harmoniously with others.

- (b) In addition, if the Board becomes aware of information that raises concerns about the qualifications of any Medical Staff or Allied Health Staff member, the matter will be referred to the President of the Medical Staff, the Chief Medical Officer, or the President of MercyOne Des Moines.
- (c) The person to whom the question is referred will make a sufficient inquiry to determine whether the question is credible and, if so, will forward it to the Medical Executive Committee. If the question pertains to a member of the Allied Health Staff, the Supervising/Collaborating Physician may also be notified.
- (d) To preserve impartiality, the person to whom the matter is directed will not be a member of the same practice as, or a relative of, the person that is being reviewed, unless such restriction is deemed not practicable, appropriate, or relevant by the President of the Medical Staff.
- (e) No action taken pursuant to this section will constitute an investigation.

6.K.2. Initiation of Investigation:

- (a) The Medical Executive Committee will review the matter in question, may discuss the matter with the individual, and will determine whether to conduct an investigation or direct that the matter be handled pursuant to another policy. An investigation will commence only after a determination by the Medical Executive Committee.
- (b) The Medical Executive Committee will inform the individual that an investigation has begun. Notification may be delayed if, in the judgment of the Medical Executive Committee, informing the individual immediately might compromise the investigation or disrupt the operation of the Medical Center, Medical Staff, or Allied Health Staff.
- (c) The Board may also determine to commence an investigation and may delegate the investigation to the Medical Executive Committee, a subcommittee of the Board, or an ad hoc committee.

6.K.3. Investigative Procedure:

- (a) Once a determination has been made to begin an investigation, the Medical Executive Committee will investigate the matter itself or appoint an individual or committee (“Investigating Committee”) to do so. The Investigating Committee may include individuals not on the Medical Staff or Allied Health Staff. The Investigating Committee will not include any individual who:

- (1) is in direct economic competition with the individual being investigated;
 - (2) is a relative of the individual being investigated;
 - (3) has an actual bias, prejudice, or conflict of interest that would prevent the individual from fairly and impartially considering the matter; or
 - (4) actively participated in the matter at any previous level.
- (b) Whenever the questions raised concern the clinical competence of the individual under review, the Investigating Committee will include a peer of the individual (e.g., physician, dentist, podiatrist, advanced practice nurse, or physician assistant).
- (c) The individual will be notified of the composition of the Investigating Committee. Within five days of receipt of this notice, the individual must submit any reasonable objections to the service of any Investigating Committee member to the President of MercyOne Des Moines or the Chief Medical Officer. The objections must be in writing. The President of MercyOne Des Moines or the Chief Medical Officer will review the objection and determine whether another member should be selected to serve on the Investigating Committee.
- (d) The Investigating Committee may:
- (1) review relevant documents, which may include patient records, incident reports and relevant literature or guidelines;
 - (2) conduct interviews;
 - (3) use outside consultants, as needed, for timeliness, expertise, thoroughness and objectivity; or
 - (4) require an examination or assessment by a health care professional(s) acceptable to it. The individual being investigated will execute a release allowing the Investigating Committee to discuss with the health care professional(s) the reasons for the examination or assessment and allowing the health care professional to discuss and report the results to the Investigating Committee.
- (e) As part of the investigation, the individual will have an opportunity to meet with the Investigating Committee. Prior to this meeting, the individual will be informed of the questions being investigated and will be invited to discuss, explain, or refute the questions. A summary of the interview will be made and included with the Investigating Committee's report. This meeting is not a hearing, and none of the procedural rules for hearings will apply. Lawyers will not be present at this meeting.

- (f) The Investigating Committee will make a reasonable effort to complete the investigation and issue its report within 60 days, provided that an outside review is not necessary. When an outside review is used, the Investigating Committee will make a reasonable effort to complete the investigation and issue its report within 30 days of receiving the results of the outside review. These time frames are intended to serve as guidelines and, as such, will not be deemed to create any right for an individual to have an investigation completed within such time periods.
- (g) At the conclusion of the investigation, the Investigating Committee will prepare a report to the Medical Executive Committee with its findings, conclusions, and recommendations.

6.K.4. Recommendation:

- (a) The Medical Executive Committee may accept, modify, or reject any recommendation it receives from an Investigating Committee. Specifically, the Medical Executive Committee may:
 - (1) determine that no action is justified;
 - (2) issue a letter of guidance, counsel, warning, or reprimand;
 - (3) impose conditions for continued appointment;
 - (4) require monitoring, proctoring or consultation;
 - (5) require additional training or education;
 - (6) recommend reduction or restriction of clinical privileges;
 - (7) recommend suspension of clinical privileges for a specific period of time or until specified conditions have been met;
 - (8) recommend revocation of appointment or clinical privileges; or
 - (9) make any other recommendation that it deems necessary or appropriate.
- (b) A recommendation by the Medical Executive Committee that does not entitle the individual to request a hearing, will take effect immediately and will remain in effect unless modified by the Board.

- (c) A recommendation by the Medical Executive Committee that would entitle the individual to request a hearing will be forwarded to the President of MercyOne Des Moines, who will promptly inform the individual by special notice. The recommendation will not be forwarded to the Board until after the individual has completed or waived a hearing and appeal.

- (d) If the Board makes a modification to the recommendation of the Medical Executive Committee that would entitle the individual to request a hearing, the President of MercyOne Des Moines will inform the individual by special notice. No final action will occur until the individual has completed or waived a hearing and appeal.

ARTICLE 7

HEARING AND APPEAL PROCEDURES

7.A. INITIATION OF HEARING

7.A.1. Grounds for Hearing:

- (a) An individual is entitled to request a hearing whenever the Medical Executive Committee makes one of the following recommendations:
 - (1) denial of initial appointment, reappointment or requested clinical privileges;
 - (2) revocation of appointment or clinical privileges;
 - (3) suspension of clinical privileges for more than 30 days (other than precautionary suspension);
 - (4) restriction of clinical privileges for more than 30 days that is the result of a professional review action based on clinical competence or professional conduct that leads to the inability of a practitioner to exercise his or her own independent judgment in a professional setting, (e.g., a mandatory concurring consultation requirement); or
 - (5) denial of reinstatement from a leave of absence if the reasons relate to professional competence or conduct.
- (b) No other recommendation or action will entitle the individual to a hearing.
- (c) If the Board determines to take any of these actions without an adverse recommendation by the Medical Executive Committee, an individual is entitled to request a hearing. For ease of use, this Article refers to adverse recommendations of the Medical Executive Committee. When a hearing is triggered by an adverse proposed action of the Board, any reference in this Article to the “Medical Executive Committee” will be interpreted as a reference to the “Board.”

7.A.2. Actions Not Grounds for Hearing:

None of the following actions constitute grounds for a hearing. These actions take effect without hearing or appeal. The individual is entitled to submit a written statement regarding these actions for inclusion in his or her file:

- (a) a letter of guidance, counsel, warning, or reprimand;
- (b) conditions, monitoring, proctoring, or a general consultation requirement;

- (c) a lapse, withdrawal of or decision not to grant or not to renew temporary privileges;
- (d) automatic relinquishment of appointment or privileges;
- (e) a requirement for additional training or continuing education;
- (f) precautionary suspension;
- (g) denial of a request for leave of absence or for an extension of a leave;
- (h) removal from the on-call roster or any reading or rotational panel;
- (i) the voluntary acceptance of a performance improvement plan option;
- (j) determination that an application is incomplete;
- (k) determination that an application will not be processed due to a misstatement or omission; or
- (l) determination of ineligibility based on a failure to meet threshold eligibility criteria, a lack of need or resources, an exclusive contract, or because the Medical Center is not accepting applications in the specialty or service.

7.A.3. Notice of Recommendation:

The President of MercyOne Des Moines will promptly give special notice of a recommendation which entitles an individual to request a hearing. This notice will contain:

- (a) a statement of the recommendation and the general reasons for it;
- (b) a statement that the individual has the right to request a hearing on the recommendation within 30 days of receipt of this notice; and
- (c) a copy of this Article.

7.A.4. Request for Hearing:

An individual has 30 days following receipt of the notice to request a hearing, in writing, to the President of MercyOne Des Moines, including the name, address, and telephone number of the individual's counsel, if any. Failure to request a hearing will constitute waiver of the right to a hearing, and the recommendation will be transmitted to the Board for final action.

7.A.5. Notice of Hearing and Statement of Reasons:

- (a) The President of MercyOne Des Moines will schedule the hearing and provide to the individual requesting the hearing, by special notice, the following:
 - (1) the time, place, and date of the hearing;
 - (2) a proposed list of witnesses who will give testimony at the hearing and a brief summary of the anticipated testimony;
 - (3) the names of the Hearing Panel members and Presiding Officer (or Hearing Officer) if known; and
 - (4) a statement of the specific reasons for the recommendation, including a list of patient records (if applicable), and information supporting the recommendation. This statement may be revised or amended at any time, even during the hearing, so long as the additional material is relevant to the recommendation or the individual's qualifications and the individual has had a sufficient opportunity, up to 30 days, to review and respond with additional information.
- (b) The hearing will begin as soon as practicable, but no sooner than 30 days after the notice of the hearing, unless an earlier hearing date has been specifically agreed to in writing by the parties.

7.A.6. Witness List:

- (a) At least 15 days before the pre-hearing conference, the individual requesting the hearing will provide a written list of the names of witnesses expected to offer testimony on his or her behalf.
- (b) The witness list will include a brief summary of the anticipated testimony.
- (c) The witness list of either party may, in the discretion of the Presiding Officer, be amended at any time during the course of the hearing, provided that notice of the change is given to the other party. If the witness list is amended, the other party may request a postponement if additional time is needed to prepare for the new witness.

7.A.7. Hearing Panel, Presiding Officer, and Hearing Officer:

- (a) Hearing Panel:

The President of MercyOne Des Moines, after consulting with the President of the Medical Staff, will appoint a Hearing Panel in accordance with the following guidelines:

- (1) The Hearing Panel will consist of at least three members, one of whom will be designated as chairperson.
 - (2) The Hearing Panel may include any combination of:
 - (i) any member of the Medical Staff or Allied Health Staff, or
 - (ii) physicians or laypersons not connected with the Medical Center (i.e., physicians not on the Medical Staff or laypersons not affiliated with the Medical Center).
 - (3) Knowledge of the underlying peer review matter, in and of itself, will not preclude the individual from serving on the Hearing Panel.
 - (4) Employment by, or other contractual arrangement with, the Medical Center or an Affiliate will not preclude an individual from serving on the Panel.
 - (5) The Hearing Panel will not include any individual who:
 - (i) is in direct economic competition with the individual requesting the hearing;
 - (ii) is a relative of the individual requesting the hearing;
 - (iii) has an actual bias, prejudice, or conflict of interest that would prevent the individual from fairly and impartially considering the matter; or
 - (iv) actively participated in the matter at any previous level.
- (b) Presiding Officer:
- (1) The President of MercyOne Des Moines, after consultation with the President of the Medical Staff, will appoint an attorney to serve as Presiding Officer. The Presiding Officer will not act as an advocate for either side at the hearing.
 - (2) The Presiding Officer will:
 - (i) schedule and conduct a pre-hearing conference;

- (ii) allow the participants in the hearing to have a reasonable opportunity to be heard and to present evidence, subject to reasonable limits on the number of witnesses and duration of direct and cross-examination;
 - (iii) prohibit conduct or presentation of evidence that is cumulative, excessive, irrelevant or abusive or that causes undue delay;
 - (iv) maintain decorum throughout the hearing;
 - (v) determine the order of procedure;
 - (vi) rule on matters of procedure and the admissibility of evidence; and
 - (vii) conduct argument by counsel on procedural points outside the presence of the Hearing Panel unless the Panel wishes to be present.
- (3) The Presiding Officer may be advised by legal counsel to the Medical Center with regard to the hearing procedure.
 - (4) The Presiding Officer may participate in the private deliberations of the Hearing Panel, may be a legal advisor to it, and may draft the report of the Hearing Panel's decision based upon the findings and discussions of the Panel, but will not vote on its recommendations.

(c) Hearing Officer:

- (1) As an alternative to a Hearing Panel, in matters in which the underlying recommendation is based upon concerns involving behavior, sexual harassment, or failure to comply with rules, regulations or policies and not issues of clinical competence, knowledge, or technical skill, the President of MercyOne Des Moines, after consulting with and obtaining the agreement of the President of the Medical Staff, may appoint a Hearing Officer. The Hearing Officer, who should preferably be an attorney, will perform the functions of a Hearing Panel. The Hearing Officer may not be, or represent clients, in direct economic competition with the individual requesting the hearing.
- (2) If a Hearing Officer is appointed instead of a Hearing Panel, all references in this Article to the "Hearing Panel" or "Presiding Officer" will be deemed to refer to the Hearing Officer.

(d) Compensation:

Members of the Hearing Panel, the Presiding Officer, or the Hearing Officer may be compensated for their service by the Medical Center. The individual requesting

the hearing may participate in that compensation. Compensation will not constitute grounds for challenging the impartiality of the Hearing Panel members.

(e) Objections:

Any objection to any member of the Hearing Panel, to the Hearing Officer, or to the Presiding Officer, will be made in writing, within ten days of receipt of notice, to the President of MercyOne Des Moines. The objection must include reasons to support it. A copy of the objection will be provided to the President of the Medical Staff. The President of the Medical Staff will be given a reasonable opportunity to comment. The President of MercyOne Des Moines will rule on the objection and give notice to the parties. The President of MercyOne Des Moines may request that the Presiding Officer make a recommendation as to the validity of the objection.

7.A.8. Counsel:

The Presiding Officer, Hearing Officer, and counsel for either party may be attorneys at law licensed to practice, in good standing, in any state.

7.B. PRE-HEARING PROCEDURES

7.B.1. General Procedures:

The pre-hearing and hearing processes will be conducted in an informal manner. Formal rules of evidence or procedure will not apply.

7.B.2. Time Frames:

The following time frames, unless modified by mutual written agreement of the parties, will govern the timing of pre-hearing procedures:

- (a) the pre-hearing conference will be scheduled at least 14 days prior to the hearing;
- (b) the parties will exchange witness lists and proposed exhibits at least 10 days prior to the pre-hearing conference; and
- (c) any objections to witnesses and/or proposed exhibits must be provided at least five days prior to the pre-hearing conference.

7.B.3. Provision of Relevant Information:

- (a) Prior to receiving any confidential documents, the individual requesting the hearing must agree that all documents and information will be maintained as confidential and will not be disclosed or used for any purpose outside of the hearing. The individual must also provide a written representation that his or her counsel and any

expert(s) have executed Business Associate agreements in connection with any patient Protected Health Information contained in any documents provided.

- (b) Upon receipt of the above agreement and representation, the individual requesting the hearing will be provided with a copy of the following:
 - (1) copies of, or reasonable access to, all patient medical records referred to in the statement of reasons, at the individual's expense;
 - (2) reports of experts relied upon by the Medical Executive Committee;
 - (3) copies of relevant minutes (with portions regarding other physicians and unrelated matters deleted); and
 - (4) copies of any other documents relied upon by the Medical Executive Committee.

The provision of this information is not intended to waive any privilege.

- (c) The individual will have no right to discovery beyond the above information. No information will be provided regarding other practitioners on the Medical Staff or Allied Health Staff. In addition, there is no right to depose, interrogate, or interview witnesses or other individuals prior to the hearing.
- (d) Ten days prior to the pre-hearing conference, or on dates set by the Presiding Officer or agreed upon by both sides, each party will provide the other party with its proposed exhibits.
- (e) Neither the individual, nor any other person acting on behalf of the individual, may contact Medical Center employees, Medical Staff members or Allied Health Staff members whose names appear on the Medical Executive Committee's witness list or in documents provided pursuant to this section concerning the subject matter of the hearing, until the Medical Center has been notified and has contacted the individuals about their willingness to be interviewed. The Medical Center will advise the individual who requested the hearing once it has contacted such employees, Medical Staff members or Allied Health Staff members, and confirmed their willingness to meet. Any employee, Medical Staff or Allied Health Staff member may agree or decline to be interviewed by or on behalf of the individual who requested a hearing.

7.B.4. Pre-Hearing Conference:

- (a) The Presiding Officer will require the individual and the Medical Executive Committee (or a representative of each, who may be counsel) to participate in a pre-hearing conference.

- (b) All objections to exhibits or witnesses will be submitted, in writing, five days in advance of the pre-hearing conference. The Presiding Officer will not entertain subsequent objections unless the party offering the objection demonstrates good cause.
- (c) At the pre-hearing conference, the Presiding Officer will resolve all procedural questions, including any objections to exhibits or witnesses.
- (d) Evidence unrelated to the reasons for the recommendation or to the individual's qualifications for appointment or the relevant clinical privileges will be excluded.
- (e) The Presiding Officer will establish the time to be allotted to each witness's testimony and cross-examination.

7.B.5. Stipulations:

The parties will use their best efforts to develop and agree upon stipulations to provide for a more efficient hearing.

7.B.6. Provision of Information to the Hearing Panel:

The following documents will be provided to the Hearing Panel in advance of the hearing:

- (a) a pre-hearing statement that either party may choose to submit;
- (b) exhibits offered by the parties following the pre-hearing conference (without the need for authentication); and
- (c) stipulations agreed to by the parties.

7.C. THE HEARING

7.C.1. Time Allotted for Hearing:

It is expected that the hearing will last no more than 15 hours, with each side being afforded approximately seven and a half hours to present its case, in terms of both direct and cross-examination of witnesses. Both parties are required to prepare their case so that a hearing will be concluded after a maximum of 15 hours. The Presiding Officer may, after considering any objections, grant limited extensions upon a demonstration of good cause and to the extent compelled by fundamental fairness.

7.C.2. Record of Hearing:

A stenographic reporter will be present to make a record of the hearing. The cost of the reporter will be borne by the Medical Center. Copies of the transcript will be available at

the individual's expense. Oral testimony will be taken on oath or affirmation administered by any authorized person.

7.C.3. Rights of Both Sides and the Hearing Panel at the Hearing:

- (a) At a hearing, both sides will have the following rights, subject to reasonable limits determined by the Presiding Officer:
 - (1) to call and examine witnesses, to the extent they are available and willing to testify;
 - (2) to introduce exhibits;
 - (3) to cross-examine any witness;
 - (4) to have representation by counsel who may be present but not call, examine, and cross-examine witnesses and present the case;
 - (5) to submit a written statement at the close of the hearing; and
 - (6) to submit proposed findings, conclusions and recommendations to the Hearing Panel.
- (b) If the individual who requested the hearing does not testify, he or she may be called and questioned.
- (c) The Hearing Panel may question witnesses, request the presence of additional witnesses, or request documentary evidence.

7.C.4. Order of Presentation:

The Medical Executive Committee will first present evidence in support of its recommendation. Thereafter, the burden will shift to the individual who requested the hearing to present evidence.

7.C.5. Admissibility of Evidence:

The hearing will not be conducted according to rules of evidence. Evidence will not be excluded merely because it is hearsay. Any relevant evidence will be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs. The guiding principle will be that the record contains information sufficient to allow the Board to decide whether the individual is qualified for appointment and clinical privileges.

7.C.6. Persons to Be Present:

The hearing will be restricted to those individuals involved in the proceeding. Administrative personnel may be present as requested by the President of MercyOne Des Moines or the President of the Medical Staff.

7.C.7. Presence of Hearing Panel Members:

A majority of the Hearing Panel will be present throughout the hearing. In unusual circumstances when a Hearing Panel member must be absent from any part of the hearing, that Hearing Panel member must certify that he or she read the entire transcript of the portion of the hearing from which he or she was absent.

7.C.8. Failure to Appear:

Failure, without good cause, to appear and proceed at the hearing will constitute a waiver of the right to a hearing and the matter will be forwarded to the Board for final action.

7.C.9. Postponements and Extensions:

Postponements and extensions of time may be requested by anyone, but will be permitted only by the Presiding Officer or the President of MercyOne Des Moines on a showing of good cause.

7.D. HEARING CONCLUSION, DELIBERATIONS, AND RECOMMENDATIONS

7.D.1. Basis of Hearing Panel Recommendation:

Consistent with the burden on the individual to demonstrate that he or she satisfies, on a continuing basis, all criteria for initial appointment, reappointment and clinical privileges, the Hearing Panel will recommend in favor of the Medical Executive Committee unless it finds that the individual who requested the hearing has proved, by clear and convincing evidence, that the recommendation that prompted the hearing was arbitrary, capricious, or not supported by credible evidence.

7.D.2. Deliberations and Recommendation of the Hearing Panel:

Within 20 days after final adjournment of the hearing (which may be designated as the time the Hearing Panel receives the hearing transcript or any post-hearing statements, whichever is later), the Hearing Panel will conduct its deliberations outside the presence of any other person except the Presiding Officer. The Hearing Panel will render a recommendation, accompanied by a report, which will contain a statement of the basis for its recommendation.

7.D.3. Disposition of Hearing Panel Report:

The Hearing Panel will deliver its report to the President of MercyOne Des Moines. The President of MercyOne Des Moines will send by special notice a copy of the report to the individual who requested the hearing. The President of MercyOne Des Moines will also provide a copy of the report to the President of the Medical Staff.

7.E. APPEAL PROCEDURE

7.E.1. Time for Appeal:

- (a) Within ten days after notice of the Hearing Panel's recommendation, either party may request an appeal. The request will be in writing, delivered to the President of MercyOne Des Moines in person or by certified mail, return receipt requested, and will include a statement of the reasons for appeal and the specific facts or circumstances which justify further review.
- (b) If an appeal is not requested within ten days, an appeal is deemed to be waived and the Hearing Panel's report and recommendation will be forwarded to the Board for final action.

7.E.2. Grounds for Appeal:

The grounds for appeal will be limited to the following:

- (a) there was substantial failure by the Hearing Panel to comply with this Policy or the Medical Staff Bylaws during the hearing, so as to deny a fair hearing; or
- (b) the recommendations of the Hearing Panel were made arbitrarily or capriciously or were not supported by credible evidence.

7.E.3. Time, Place and Notice:

Whenever an appeal is requested, the chairperson of the Board will schedule and arrange for an appeal. The individual will be given special notice of the time, place, and date of the appeal. The appeal will be held as soon as arrangements can reasonably be made, taking into account the schedules of all the individuals involved.

7.E.4. Nature of Appellate Review:

- (a) The Board may serve as the Review Panel or the chairperson of the Board may appoint a Review Panel, composed of members of the Board or others, including but not limited to reputable persons outside the Medical Center.

- (b) The Review Panel may consider the record upon which the recommendation was made, including the hearing transcripts and exhibits, post-hearing statements, the findings and recommendations of the Medical Executive Committee and Hearing Panel and any other information that it deems relevant, and recommend final action to the Board.
- (c) Each party will have the right to present a written statement in support of its position on appeal. The party requesting the appeal will submit a statement first and the other party will then have ten days to respond. In its sole discretion, the Review Panel may allow each party or its representative to appear personally and make oral argument not to exceed 30 minutes.
- (d) When requested by either party, the Review Panel may, in its discretion, accept additional oral or written evidence subject to the same rights of cross-examination provided at the Hearing Panel proceedings. Additional evidence will be accepted only if the Review Panel determines that the party seeking to admit it can demonstrate that it is new, relevant evidence or that any opportunity to admit it at the hearing was improperly denied.

7.F. BOARD ACTION

7.F.1. Final Decision of the Board:

- (a) The Board will take final action within 30 days after it (i) considers the appeal as a Review Panel, (ii) receives a recommendation from a separate Review Panel, or (iii) receives the Hearing Panel's report when no appeal has been requested.
- (b) The Board may review any information that it deems relevant, including, but not limited to, the findings and recommendations of the Medical Executive Committee, Hearing Panel, and Review Panel (if applicable).
- (c) Consistent with its ultimate legal authority for the operation of the Medical Center and the quality of care provided, the Board may adopt, modify, or reverse any recommendation that it receives or refer the matter for further review.
- (d) The Board will render its final decision in writing, including the basis for its decision, and will send special notice to the individual. A copy will also be provided to the President of the Medical Staff.
- (e) Except where the matter is referred by the Board for further review, the final decision of the Board will be effective immediately and will not be subject to further review.

7.F.2. Right to One Hearing and One Appeal Only:

No individual will be entitled to more than one hearing and one appeal on any matter.

ARTICLE 8

CONDITIONS OF PRACTICE APPLICABLE TO ALLIED HEALTH STAFF

8.A. CONDITIONS OF PRACTICE APPLICABLE TO ALLIED HEALTH STAFF

8.A.1. Standards of Practice for the Utilization of Allied Health Staff in the Medical Center Setting:

- (a) Pursuant to policy adopted by the Board, the Allied Health Staff are currently authorized to function as practitioners in the Medical Center in accordance with applicable law and clinical privileges granted to the respective practitioner under this Policy.
- (b) The following standards of practice apply to the functioning of Allied Health Staff in the Medical Center setting:
 - (1) Emergency On-Call Coverage. It will be within the discretion of the Emergency Department physician requesting assistance whether it is appropriate to contact an Allied Health Staff practitioner prior to the Supervising/Collaborating Physician. Allied Health Staff practitioners may not independently participate in the emergency on-call roster (formally, or informally by agreement with their Supervising/Collaborating Physician), in lieu of the Supervising/Collaborating Physician. The Supervising/Collaborating Physician (or his or her covering physician) must personally respond to all calls directed to him or her in a timely manner, in accordance with the requirements set forth in this Policy. Following discussion with the Emergency Department, the Supervising/Collaborating Physician may direct an Allied Health Staff practitioner to see the patient, gather data, and order tests for further review by the Supervising/Collaborating Physician. However, the Supervising/Collaborating Physician must still see the patient when requested by the Emergency Department physician.
 - (2) Inpatient Consultations. It will be within the discretion of the Medical Center personnel requesting assistance to determine whether it is appropriate to contact an Allied Health Staff practitioner for a consultation prior to contacting the Supervising/Collaborating Physician. However, the Supervising/Collaborating Physician must personally respond to all calls directed to him or her in a timely manner.

8.A.2. Role of Supervising/Collaborating Physician for Allied Health Staff:

- (a) Allied Health Staff may function in the Medical Center only so long as they have a Supervising/Collaborating Physician.
- (b) Any activities permitted to be performed at the Medical Center by a Dependent Allied Health Staff may be performed with the requisite level of supervision or collaboration of the Supervising/Collaborating Physician, consistent with the Clinical Privileges granted the Allied Health Staff.
- (c) If the Medical Staff appointment or clinical privileges of a Supervising/Collaborating Physician are resigned, revoked or terminated, or the Allied Health Staff member fails, for any reason, to maintain an appropriate supervision or collaboration relationship with a physician as defined in this Policy, the Allied Health Staff member's clinical privileges will be automatically relinquished, unless he or she has identified another physician who has agreed to serve as a Supervising/Collaborating Physician, and who has been approved as part of the credentialing process. The Allied Health Staff member will provide the Chief Medical Officer with the name of the new Supervising/Collaborating Physician within three days of any such change.
- (d) As a condition of obtaining and maintaining clinical privileges, an Allied Health Staff member and the Supervising/Collaborating Physician must provide the Medical Center with notice of any revisions or modifications that are made to any agreement between them. Specifically, but not by way of limitation, a physician assistant must provide notice of any changes in the designation of the physician with whom the physician assistant has the supervision agreement required by Iowa law. Any notice to be provided under this Section 8.A.2(e) must be provided to the Chief Medical Officer within three days of any such change.
- (h) The number of Allied Health Staff members under the supervision of one Medical Staff member, as well as the care they may provide, will be consistent with applicable state statutes and regulations and any other policies adopted by the Medical Center. The Supervising/Collaborating Physician will make all appropriate filings with applicable regulatory and licensing agencies regarding the supervision and responsibilities of the Supervising/Collaborating Physician and the Allied Health Staff member, to the extent that such filings are required.

8.A.3. Questions Regarding the Authority of an Allied Health Staff Member:

- (a) Should any member of the Medical Staff, or any employee of the Medical Center who is licensed or certified by the state, have a reasonable question regarding the clinical competence or authority of an Allied Health Staff member to act or issue instructions, such individual will have the right to request that the Allied Health Staff member or Medical Staff Office validate, either at the time or later, the

approved scope of practice and clinical privileges of the Allied Health Staff member.

- (b) Any question regarding the conduct of an Allied Health Staff member will be reported to the President of the Medical Staff, the chairperson of the Credentials Committee, the relevant department chairperson, the Chief Medical Officer, or the President of MercyOne Des Moines for appropriate action. The individual to whom the concern has been reported will also discuss the matter with the Collaborating or Supervising Physician (if applicable).

8.B. PROCEDURAL RIGHTS FOR ALLIED HEALTH STAFF MEMBERS

In the event a recommendation is made by the Medical Executive Committee or the Board pertaining to an Allied Health Staff member that would constitute grounds for a hearing, the process set forth in Article 7 of this Policy will be followed.

ARTICLE 9

CONFLICTS OF INTEREST

- (a) All those involved in credentialing and professional practice evaluation activities must be sensitive to potential conflicts of interest in order to be fair to the individual whose qualifications are under review, to protect the individual with the potential conflict, and to protect the integrity of the review process.
- (b) It is also essential that peers participate in credentialing and professional practice evaluation review activities in order for these activities to be meaningful and effective. Therefore, whether and how an individual can participate must be evaluated reasonably, taking into consideration common sense and objective principles of fairness.
- (c) When performing a function outlined in this Policy, the Bylaws, the Medical Staff Rules and Regulations, or a related policy, if any member has or reasonably could be perceived as having a conflict of interest or a bias, that member will not participate in the final discussion or voting on the matter and will be excused from any meeting during that time. However, the member may provide relevant information and may answer any questions concerning the matter before leaving.
- (d) Any member with knowledge of the existence of a potential conflict of interest or bias on the part of any other member may call the conflict of interest to the attention of the President of the Medical Staff (or the President-Elect of the Medical Staff if the President of the Medical Staff is the person with the potential conflict) or the applicable department or committee chairperson. The President of the Medical Staff or the applicable department or committee chairperson will make a final determination as to whether the provisions in this Article should be triggered or may submit the issue of whether there is a conflict of interest to a vote of the entire department or committee.
- (e) The fact that a department or committee chairperson or a member is in the same specialty as a member whose performance is being reviewed does not automatically create a conflict. In addition, the assessment of whether a conflict of interest exists will be interpreted reasonably by the persons involved, taking into consideration common sense and objective principles of fairness. No member has a right to compel disqualification of another member based on an allegation of conflict of interest.
- (f) The fact that a department or committee member or Medical Staff Leader chooses to refrain from participation, or is excused from participation, will not be interpreted as a finding of actual conflict.

ARTICLE 10

MEDICAL CENTER EMPLOYEES

- (a) Except as provided below, the employment of an individual by the Medical Center or an Affiliate will be governed by applicable employment policies and manuals and the terms of the individual's employment relationship or written contract. To the extent that applicable employment policies or manuals, or the terms of any employment contract, conflict with this Policy, the employment policies, manuals and descriptions and terms of the individual's employment relationship or written contract will apply.
- (b) A request for appointment, reappointment or clinical privileges, submitted by an applicant or member who is employed by the Medical Center or an Affiliate, will be processed in accordance with the terms of this Policy. A report regarding each practitioner's qualifications will be made to appropriate management personnel to assist with employment decisions.
- (c) If a concern about an employed member's clinical competence, conduct or behavior arises, then the concern may be reviewed and addressed in accordance with this Policy, in which event a report will be provided to appropriate management personnel. However, nothing herein will require the individual's employer to follow this Policy.

ARTICLE 11

AMENDMENTS AND ADOPTION

- (a) The amendment process for this Policy is set forth in the Bylaws.
- (b) This Policy is adopted and made effective upon approval of the Board, superseding and replacing any and all other Bylaws, Medical Staff Rules and Regulations, and Medical Center or Medical Staff policies pertaining to the subject matter thereof.

Adopted by the Medical Staff: _____ 4/15/2021

Approved by the Board: _____ 4/28/2021

APPENDIX A

CATEGORIES OF ALLIED HEALTH STAFF

Categories of Allied Health Staff eligible to practice, if appropriately credentialed, at the Medical Center are as follows:

Advanced Registered Nurse Practitioner (Certified Nurse Midwife, Certified Registered Nurse Anesthetist, and any other Advanced Registered Nurse Practitioner designated by the Iowa Board of Nursing).

Physician Assistant

Psychologist