

**MEDICAL STAFF BYLAWS, POLICIES, AND
RULES AND REGULATIONS
OF
WellSpan Dr. Roy A. Himelfarb Surgery Center**

CREDENTIALS POLICY

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ARTICLE 1

GENERAL

1.A. DEFINITIONS

The following definitions shall apply to terms used in the Medical Staff Bylaws, this Policy, and the Medical Staff Organization Manual:

- (1) “ADMINISTRATIVE LEADERSHIP” means the ASF President, Administrator, Director of Nursing, ASF Medical Director.
- (2) “ADVANCED PRACTICE PROFESSIONAL” (“APP”) means individuals other than Medical Staff members who provide a medical level of care or perform surgical tasks consistent with granted clinical privileges, but who may be required by law and/or the ASF to exercise some or all of those clinical privileges under the direction of, or in collaboration with, a Supervising/Collaborating Physician pursuant to a Supervision/Collaborative agreement. See **Appendix B** of this Policy.
- (3) “ALLIED HEALTH PROFESSIONAL” (“AHP”) means an individual who is permitted by law or the ASF to function only under the direction of a Supervising/Collaborating Physician, pursuant to a Supervision/Collaboration agreement and consistent with a defined scope of practice. Except as noted in the Article 8 of this Policy, all aspects of the clinical practice of Allied Health Professionals at the ASF shall be assessed and managed by Human Resources or other appropriate department in accordance with Human Resources or other relevant policies and procedures and the provisions of the Medical Staff Bylaws and associated policies shall not apply. See **Appendix C** of this Policy.
- (4) “APPOINTMENT” means the granting of membership to the Medical Staff by the Board to one of the defined categories outlined in Article 2 of the Medical Staff Bylaws or the granting of permission to practice to an Advanced Practice Professional or Licensed Independent Practitioner.
- (5) “AUTOMATIC RELINQUISHMENT/AUTOMATIC RESIGNATION” of appointment and/or clinical privileges are administrative actions that occur by operation of the Medical Staff Credentials Policy or other applicable Medical Staff policy. They are not professional review actions that must be reported to the National Practitioner Data Bank or to any state licensing board or agency, nor do they entitle the Practitioner to a hearing or appeal.
- (6) “BOARD” means the Board of Directors of the ASF or its designated committee which is the Governing Body of the ASF.

- (7) “CLINICAL PRIVILEGES” or “PRIVILEGES” means the authorization granted by the Board to render specific clinical procedures and patient care services, for which the Medical Director and Board have developed eligibility and other credentialing criteria and FPPE and OPPE standards. There are several types of clinical privileges, including, but not limited to, telemedicine privileges, temporary privileges, and disaster privileges.
- (8) “CONFIDENTIAL PEER REVIEW EVALUATIONS” mean the written evaluations of the quality and efficiency of services ordered or performed by Professional Health Care Providers prepared by, or on behalf of, other Professional Health Care Providers. These include, but are not limited to:
- (a) Confidential reference evaluations obtained when an individual applies for appointment, reappointment, and/or clinical privileges;
 - (b) Affiliation verifications from other ASF facility’s that contain an assessment of the quality and efficiency of services;
 - (c) Case Review Forms and similar assessments prepared by Peer Review Committees or Professional Health Care Providers on behalf of Peer Review Committees; and
 - (d) Any reports, correspondence, minutes, or other documentation prepared by, or on behalf of, a Peer Review Committee that contain an evaluation of the quality and efficiency of services.

Confidential Peer Review Evaluations are a subset of Privileged Peer Review Information.

- (9) “CORE PRIVILEGES” means a defined grouping of privileges for a specialty or subspecialty that includes the fundamental patient care services that are routinely taught in residency and/or fellowship training for that specialty or subspecialty and which have been determined by the Medical Director and Board to require closely related skills and experience.
- (10) “DAYS” means calendar days.
- (11) “DENTIST” means a doctor of dental surgery (“D.D.S.”) or doctor of dental medicine (“D.M.D.”).
- (12) Intentionally Left Blank
- (13) “FOCUSED PROFESSIONAL PRACTICE EVALUATION” or “FPPE” means a time-limited period during which a Practitioner’s professional performance is evaluated. All initially-granted clinical privileges, whether at the time of initial

appointment, reappointment, or during the term of appointment, shall be subject to FPPE.

- (14) “ASF” means Dr. Roy A. Himelfarb Surgery Center.
- (15) “ASF PRESIDENT” means the individual appointed to act on behalf of the Board in the overall management of the ASF.
- (16) “INVESTIGATION” means a non-routine, formal process to review questions or concerns pertaining to a Practitioner. Only the Medical Executive Committee has the authority to initiate and conduct an Investigation. By contrast, the processes that address issues of clinical performance, professional conduct, and health involving Practitioners that utilize initial mentoring efforts or progressive steps do not constitute Investigations.
- (17) “LICENSED INDEPENDENT PRACTITIONERS” (“LIP”) means individuals other than Medical Staff members who are permitted by law and by the ASF to provide patient care services without direction or collaboration/supervision, within the scope of their license and consistent with the clinical privileges granted. Licensed Independent Practitioners may also include those Physicians not appointed to the Medical Staff who seek to exercise certain limited clinical privileges at the ASF under the conditions set forth in the Credentials Policy (i.e., moonlighting residents). See **Appendix A** of this Policy.
- (18) “MEDICAL EXECUTIVE COMMITTEE” (“MEC”) means the Medical Staff Executive Committee/Medical Advisory Committee (“MAC”).
- (19) “MEDICAL STAFF” means all Physicians, Dentists, Oral and Maxillofacial Surgeons, and Podiatrists who have been appointed to the Medical Staff by the Board.
- (20) Intentionally left Blank
- (21) “MEDICAL STAFF MEMBER” means any Physicians, Dentists, Oral and Maxillofacial Surgeons, or Podiatrists who have been granted appointment by the Board.
- (22) “MEDICAL STAFF SERVICES” means the Medical Staff Office at the ASF or any delegated or centralized Credentials Verification Office (“CVO”) utilized by the ASF or WellSpan Health.
- (23) “NON-PRIVILEGED INFORMATION” means information and documentation that is reviewed and is a component part of the credentialing process related to initial appointment, reappointment, and/or the granting of clinical privileges, but that is not confidential and privileged under the Pennsylvania Peer Review Protection Act. Examples of this information include, but are not limited to:

- (a) Primary source verification documents (e.g., license, education, training, DEA, etc.);
- (b) Queries to the Office of Inspector General, List of Excluded Providers and Entities;
- (c) Results of criminal background checks, including any mandated child abuse checks;
- (d) Application forms;
- (e) Confirmation of adequate professional liability insurance coverage for the clinical privileges requested;
- (f) Professional liability actions;
- (g) Any previously successful or currently pending challenges to any licensure or registration, or the voluntary or involuntary relinquishment of licensure or registration;
- (h) Information regarding citizenship requirements, such as service on committees, , willingness to contribute to required Medical Staff functions, and similar duties and responsibilities; and
- (i) Complaints and/or positive feedback received from patients and/or families.

All Non-Privileged Information is maintained in an individual's Credentials File.

- (24) "NOTICE" means written communication by regular U.S. mail, ASF mail, hand delivery, e-mail, facsimile, website, or other electronic method.
- (25) "ONGOING PROFESSIONAL PRACTICE EVALUATION" or "OPPE" means the ongoing review and analysis of data that helps to identify any issues or trends in Practitioners' performance that may impact quality of care and patient safety. OPPE promotes an efficient and effective evidence-based reappointment process. It is also part of the effort to provide educational opportunities that help all Practitioners consistently provide quality, safe, and effective patient care.
- (26) "ORAL AND MAXILLOFACIAL SURGEON" means an individual with a D.D.S. or a D.M.D. degree, who has completed additional training in oral and maxillofacial surgery.
- (27) "ORGANIZED HEALTH CARE ARRANGEMENT" ("OHCA") means the term used by the HIPAA Privacy Rule which permits the ASF and Medical Staff to use joint notice of privacy practices information when patients are admitted to the ASF.

Practically speaking, being part of an OHCA allows the members of the Medical Staff to rely upon the ASF's notice of privacy practices and therefore relieves Medical Staff members of their responsibility to provide a separate notice when members consult or otherwise treat ASF inpatients.

- (28) "PATIENT CONTACTS" means any admission, consultation, procedure, evaluation, treatment, or service performed in any provider-based facility operated by the ASF or affiliate, including outpatient facilities (provider-based means facilities that bill under the ASF's Medicare certification number). Patient contacts do not include referrals for diagnostic or laboratory tests or x-rays.
- (29) "PEER REVIEW" means the evaluation of the quality and efficiency of services ordered or performed by Professional Health Care Providers. This evaluation is conducted by other Professional Health Care Providers who serve on, or have been authorized to act on behalf of, a Peer Review Committee. Peer Review is also known as Professional Practice Evaluation ("PPE").

Peer Review activities include, but are not limited to, the following:

- (a) the assessment of a Professional Health Care Provider's clinical performance, professionalism, health, and utilization practices in accordance with the procedures in this Policy and related Medical Staff policies;
 - (b) use of the following tools and procedures to address any questions or concerns that may be identified with a Professional Health Care Provider: mentoring and counseling, other collegial efforts and progressive steps, voluntary performance improvement plans, focused reviews, precautionary suspensions, investigations, and hearing and appeals; and
 - (c) the portions of the initial appointment and reappointment processes that involve the evaluation of the quality and efficiency of services ordered or performed by a Professional Health Care Provider.
- (30) "PEER REVIEW COMMITTEE" means any committee that engages in Peer Review. Peer Review Committees include, but are not limited to, the following:
 - (a) Medical Executive Committee, Peer Review Committee ("PRC"), , or any other standing or ad hoc committee that performs Peer Review;
 - (b) service lines when engaging in Peer Review;
 - (c) Hearing Officers and hearing and appellate review panels;
 - (d) the Board of any WellSpan ASF and its committees; and

- (e) any individual who is authorized to perform functions on behalf of a Peer Review Committee, including the Medical Director and ASF personnel, and experts or consultants retained to assist in Peer Review activities.

All Peer Review Committees are also “professional review bodies” as that term is defined in the Health Care Quality Improvement Act of 1986, 42 U.S.C. §11101 et seq.

- (31) “PERMISSION TO PRACTICE” means the authorization granted to Advanced Practice Professionals and Licensed Independent Practitioners to exercise clinical privileges at the ASF.
- (32) “PHYSICIAN” means both doctors of medicine (“M.D.s”) and doctors of osteopathy (“D.O.s”).
- (33) “PODIATRIST” means a doctor of podiatric medicine (“D.P.M.”).
- (34) “PRACTITIONER” means any individual who has been granted clinical privileges and/or appointment by the Board, including, but not limited to, Medical Staff Members, Advanced Practice Professionals, and Licensed Independent Practitioners.
- (35) “PRIVILEGED PEER REVIEW INFORMATION” means any information maintained by the ASF in any format (verbal, written, or electronic) that involves the evaluation of the quality and efficiency of services ordered or performed by Professional Health Care Providers. Privileged Peer Review Information includes analyses, evaluations, reports, correspondence, records, proceedings, recommendations, actions, and minutes made or taken by, or on behalf of, Peer Review Committees, or in response to a request for information by another Peer Review Committee. Examples of this information include, but are not limited to:
 - (a) Documentation created by or on behalf of Department Committees and the Peer Review Committee pursuant to relevant peer review policies;
 - (b) Confidential Peer Review Evaluations as defined earlier in these Definitions;
 - (c) Documentation of OPPE and FPPE activities
 - (d) Assessments regarding the appropriateness of utilization patterns;
 - (e) Morbidity and mortality data related to the specific individual;
 - (f) Assessments of the Practitioner’s health status and ability to perform the privileges requested competently and safely created at the request of, or obtained and maintained by, a Peer Review Committee for purposes of Peer

Review. This includes, but is not limited to, records related to the assessment and treatment for drug or alcohol use and mental health counseling records;

- (g) Any information concerning Peer Review/professional practice activities and/or the voluntary or involuntary termination, limitation, reduction, or loss of appointment or clinical privileges at another ASF; and
- (h) Responses to queries to the National Practitioner Data Bank.

All Privileged Peer Review Information is maintained in an individual's Confidential Quality/Peer Review File.

- (36) "PROFESSIONAL HEALTH CARE PROVIDER" has the meaning set forth in Pa. Stat. Ann. 63 P.S. §425.2 (or the comparable provision of any subsequent statute).
- (37) "PROFESSIONAL PRACTICE EVALUATION" or "PPE" refers to the ASF's routine Peer Review process. It is used to evaluate a Practitioner's professional performance when any questions or concerns arise and includes all activities and documentation related to reviewing issues of clinical competence, professional conduct, care management, and health status. The PPE processes outlined in the Medical Staff policies are applicable to all Practitioners and are not intended to be a precursor to any disciplinary action, but rather are designed to promote improved patient safety and quality through continuous improvement.
- (38) "REAPPOINTMENT" means the granting of continued appointment to the Medical Staff by the Board or the granting of continued permission to practice to an Advanced Practice Professional or Licensed Independent Practitioner.
- (39) "RESTRICTION" means a professional review action that:
 - (a) is recommended by the Medical Executive Committee as part of an Investigation or agreed to by the Practitioner while he or she is under Investigation; and
 - (b) limits the individual's ability to independently exercise his or her clinical judgment (i.e., a mandatory concurring consulting requirement in which the consultant must approve the course of treatment in advance or a proctoring requirement in which the proctor is mandated to be present for the case and has the authority to intervene in the case, if necessary).

Restrictions do not include the following, whether recommended by the Medical Executive Committee or by any other Medical Staff committee:

- (a) general consultation requirements, in which the Practitioner agrees to seek input from a consultant prior to providing care;

- (b) observational proctoring requirements, in which the Practitioner agrees to have a proctor present to observe his or her provision of care; and
 - (c) other collegial performance improvement efforts, including informational or awareness letters, educational letters, or voluntary performance improvement plans that are suggested by the Medical Director and voluntarily agreed to by the Practitioner as a part of the routine PPE process.
- (40) “SCOPE OF PRACTICE” means the authorization granted to an Allied Health Professional to perform certain clinical activities and functions under the Supervision of, or in collaboration with, a Supervising/Collaborating Physician.
- (41) “SPECIAL NOTICE” means hand delivery, certified mail (return receipt requested), or overnight delivery service providing receipt.
- (42) “SPECIAL PRIVILEGES” means clinical privileges that fall outside of the core privileges for a given specialty, which require additional education, training, and/or experience beyond that required for core privileges in order to demonstrate competence.
- (43) “SUPERVISING/COLLABORATING PHYSICIAN” means a Medical Staff Member with clinical privileges who has agreed to Supervise/Collaborate with an Advanced Practice Professional or an Allied Health Professional and to accept responsibility for the actions of the Advanced Practice Professional or Allied Health Professional while he or she is practicing in the ASF.
- (44) “SUPERVISION/COLLABORATION” means the supervision of, or collaboration with, an Advanced Practice Professional or an Allied Health Professional by a Supervising/Collaborating Physician, that may or may not require the actual presence of the Supervising/Collaborating Physician, but that does require, at a minimum, that the Supervising/Collaborating Physician be readily available for consultation. The requisite level of supervision shall be determined at the time each Advanced Practice Professional or Allied Health Professional is credentialed and shall be consistent with any applicable Supervision/Collaboration agreement that may exist.
- (45) “TELEMEDICINE” means the exchange of medical information from one site to another via electronic communications for the purpose of providing patient care, treatment, and services.
- (46) “UNASSIGNED PATIENT” means any individual who comes to the ASF for care and treatment who does not have an attending physician, whose attending physician or designated alternate is unavailable to attend the patient, or who does not want the prior attending physician to provide him or her care while a patient at the ASF.

- (47) “VICE PRESIDENT OF MEDICAL AFFAIRS” (“MEDICAL DIRECTOR”) / “CHIEF MEDICAL OFFICER (“CMO”) means the individual designated by the ASF to assist the Medical Staff in the performance of its functions, work in cooperation with the Medical Staff President, and serve as a liaison to the Board. This individual may be referred to as the VPMA or the CMO at individual facilities.
- (48) “WELLSPAN” means WellSpan Health System.

1.B. DELEGATION OF FUNCTIONS

- (1) When a function under this Policy is to be carried out by a member of Administrative Leadership, a Medical Staff member, or by a Medical Staff committee, including a Peer Review Committee, the individual, or the committee through its chair, may delegate performance of the function to a qualified designee who is a Practitioner or ASF employee (or a committee of such individuals). Any such designee must treat and maintain Privileged Peer Review Information in a strictly confidential manner and is bound by all other terms, conditions, and requirements of the Medical Staff Bylaws and related policies. In addition, the delegating individual or committee is responsible for ensuring that the designee appropriately performs the function in question. Any documentation created by the designee are records of the committee that is ultimately responsible for the review in a particular matter.
- (2) When an individual assigned a function under this Policy is unavailable or unable to perform that function, the Medical Director may perform the function personally or delegate it to another appropriate individual.

1.C. SUBSTANTIAL COMPLIANCE

While every effort will be made to comply with all provisions of this Policy, substantial compliance is required. Technical or minor deviations from the procedures set forth within this Policy do not invalidate any review or action taken.

ARTICLE 2

QUALIFICATIONS, CONDITIONS, AND RESPONSIBILITIES

2.A. QUALIFICATIONS

2.A. 1. Threshold Eligibility Criteria:

To be eligible to apply for initial appointment, reappointment, and/or clinical privileges and as a condition of maintaining ongoing appointment and/or clinical privileges, individuals must satisfy the applicable eligibility criteria:

(a) All Practitioners:

- (1) have a current, unrestricted license to practice in Pennsylvania that is not subject to any restrictions, conditions or probationary terms;
- (2) not currently be under investigation by any state licensing agency and have never had a license to practice denied, revoked, restricted or suspended by any state licensing agency;
- (3) where applicable to their practice, have a current, unrestricted DEA registration and state-controlled substance license and have never had a DEA registration or state-controlled substance license denied, revoked, restricted or suspended;
- (4) have current, valid professional liability insurance coverage in a form and in amounts satisfactory to the ASF;
- (5) not currently be under any criminal investigation or indictment and have not been convicted of, or entered a plea of guilty or no contest to, Medicare, Medicaid, or other federal or state governmental or private third-party payer fraud or program abuse, nor have been required to pay civil monetary penalties for the same;
- (6) have not been, and are not currently, excluded, precluded, or debarred from participation in Medicare, Medicaid, or other federal or state governmental health care program;
- (7) have not been terminated from a post-graduate training program for reasons related to clinical competence or professional conduct (residency or fellowship 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;

- (8) have not had appointment, clinical privileges, or Scope of Practice denied, suspended, revoked, or terminated by any health care facility or health plan, including at this ASF, for reasons related to clinical competence or professional conduct (this provision does not include automatic or administrative suspensions related to incomplete medical records);
- (9) have not resigned appointment or relinquished clinical privileges or a Scope of Practice during an Investigation or in exchange for not conducting such an Investigation, including at this ASF;
- (10) not currently under any criminal investigation or indictment and have not been convicted of, or entered a plea of guilty or no contest to, any felony; or to any misdemeanor relating to (i) controlled substances, (ii) illegal drugs, (iii) insurance or health care fraud or abuse, (iv) child abuse, (v) elder abuse, (vi) violence, or (vii) the Practitioner-patient relationship;
- (11) have never had an application not processed or have been deemed to have automatically relinquished appointment and/or clinical privileges at this ASF on the basis of an omission or misstatement on the application form;
- (12) have or agree to make appropriate coverage arrangements (“appropriate coverage” means coverage by another credentialed Practitioner with appropriate specialty-specific privileges as determined by the MEC) with other Practitioners for those times when the individual will be unavailable;
- (13) demonstrate recent clinical activity in their primary area of practice during the last two years;
- (14) meet any current or future eligibility requirements that are applicable to the clinical privileges being sought;
- (15) if applying for clinical privileges in an area that is covered by an exclusive contract, meet the specific requirements set forth in that contract;
- (16) agree to comply with all policies, training and educational protocols, and orientation requirements adopted by the MEC, the ASF, or WellSpan, including, but not limited to, those involving electronic health records, the privacy and security of protected health information, infection control, patient safety initiatives, and clinical protocols;
- (17) be, and remain, in compliance with all Pennsylvania Prescription Drug Monitoring Program requirements; and
- (18) document compliance with any immunization, vaccination, and/or health screening requirements as may be adopted by the MEC, the ASF, or WellSpan.

(b) Additional Criteria for Medical Staff Members:

- (1) be available on a continuous basis, either personally or by arranging appropriate coverage, to (i) respond to the needs of any patients for whom they have responsibility. Compliance with this eligibility requirement means that the Practitioner must document that he or she is willing and able to:
 - (i) respond within 15 minutes, via phone, to an initial contact from the ASF; and
 - (ii) appear in person (or via approved technology-enabled direct communication and evaluation, i.e., telemedicine) to attend to a patient within **45** minutes of being requested to do so (or more quickly based upon (a) the acute nature of the patient's condition or (b) as required for a particular specialty as recommended by the MEC and approved by the Board);
- (2) have successfully completed:
 - (i) a residency or fellowship training program approved by the Accreditation Council for Graduate Medical Education ("ACGME") or the American Osteopathic Association ("AOA") in the specialty in which the applicant seeks clinical privileges; or
 - (ii) a dental or oral and maxillofacial surgery training program accredited by the Commission on Dental Accreditation of the American Dental Association ("ADA"); or
 - (iii) a podiatric surgical residency program accredited by the Council on Podiatric Medical Education of the American Podiatric Medical Association;
- (3) be certified in their primary area of practice at the ASF by the appropriate specialty/subspecialty board of the American Board of Medical Specialties ("ABMS"), the Bureau of Osteopathic Boards of Certification, or the American Board of Oral and Maxillofacial Surgery, or the American Board of Foot and Ankle Surgery or American Board of Podiatric Medicine as applicable. Those applicants who are not board certified at the time of application but who have completed their residency or fellowship training within the last five years shall 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 training; and*

- (4) maintain board certification in their primary area of practice at the ASF on a continuous basis and satisfy all requirements of the relevant specialty/subspecialty board necessary to do so (board certification status will be assessed at reappointment).*

* The requirements pertaining to board certification and maintenance of certification are applicable to those individuals who apply for initial staff appointment after July 1, 2025 and are not applicable to Medical Staff members who were appointed prior to that date. Those Medical Staff members shall be grandfathered and shall be governed by any board certification requirements that may have been in effect at the time of their initial appointments.

In addition, in exceptional circumstances, the six-year time frame for initial applicants and the time frame for maintenance/recertification by existing members may be extended for one additional period, not to exceed two years, in order to permit an individual an additional opportunity to obtain or maintain certification. In order to be eligible to request an extension in these situations, an individual must, at a minimum, satisfy the following criteria:

- (i) the individual has been on the ASF's Medical Staff for at least two full years;
- (ii) there have been no significant documented peer review concerns related to the individual's competence or behavior at the ASF during the individual's tenure;
- (iii) the individual provides a letter from the appropriate certifying board confirming that the individual remains eligible to take the certification examination within the next two years; and
- (iv) the appropriate Department Committee at the ASF provides a favorable report concerning the individual's quality and efficiency of services.

(c) Additional Criteria for Licensed Independent Practitioners and Advanced Practice Professionals:

- (1) have completed his or her professional education and is either certified by the appropriate nationally recognized certification organization or, if he or she is not certified, must acquire the appropriate nationally recognized professional certification at the first time certification is available. All certifications must be maintained in order to remain eligible for appointment and clinical privileges;

- (2) in the case of an Advanced Practice Professional, have a written collaborative/supervision agreement, as applicable, with a Supervising/Collaborating Physician, that meets all applicable requirements of Pennsylvania law and ASF policy; and
- (3) in the case of an Advanced Practice Professional, agree to the Standards of Practice outlined in Article 8 of this Policy, as applicable.

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

- (a) Any applicant who does not satisfy one or more of the threshold eligibility criteria outlined above may request that it be waived. The applicant requesting the waiver bears the burden of demonstrating (i) that he or she is otherwise qualified, and (ii) **exceptional** circumstances exist (e.g., when there is a demonstrated ASF or Medical Staff need for the services in question). Exceptional circumstances generally do not include situations where a waiver is sought for the convenience of an applicant (e.g., applicants who wish to defer taking board examinations).
- (b)
- (c) A request for a waiver shall be submitted to the MEC for consideration. The MEC shall 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.
- (d) The Board's determination regarding whether to grant a waiver is final. No applicant is entitled to a waiver or to a hearing if the Board determines not to grant a waiver. A determination that an applicant is not entitled to a waiver is not a "denial" of appointment, clinical privileges, or scope of practice. Rather, that individual is ineligible to request appointment, clinical privileges, or scope of practice. A determination of ineligibility is not a matter that is reportable to either the Pennsylvania licensure board or the National Practitioner Data Bank.
- (e) A determination to grant a waiver does not mean that the appointment or clinical privileges will be granted, only that processing of the application can begin.
- (f) The granting of a waiver in a particular case does not set a precedent for any other applicant or group of applicants.
- (g) If a waiver is granted that does not specifically include a time limitation, the waiver is considered to be permanent and the individual does not have to request a waiver at subsequent recredentialing cycles.

2.A.3. Factors for Evaluation:

The six ACGME general competencies (patient care, medical knowledge, professionalism, system-based practice, practice-based learning, and interpersonal communications) will be

evaluated as part of the assessment of the initial grant or renewal of clinical privileges at time of appointment and reappointment, as reflected in the following factors:

- (a) relevant training, experience, and demonstrated current competence, including medical/clinical knowledge, technical and clinical skills, and clinical judgment, and an understanding of the contexts and systems within which care is provided;
- (b) adherence to the ethics of their profession, continuous professional development, an understanding of and sensitivity to diversity, and responsible attitude toward patients and their 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, the ASF's and Medical Staff's commitment to quality care and a recognition that interpersonal skills and collegiality are essential to the provision of quality patient care.

2.A.4. No Entitlement to Appointment or Permission to Practice:

No individual is entitled to receive an application or to be granted appointment, reappointment, or particular clinical privileges merely because he or she:

- (a) is employed by the ASF or its subsidiaries or has a contract with the ASF;
- (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 appointment, permission to practice as an Advanced Practice Professional or Licensed Independent Practitioner, or clinical privileges at any ASF or health care facility;
- (f) resides in the geographic service area of the ASF; or
- (g) is affiliated with, or under contract to, any managed care plan, insurance plan, HMO, PPO, or other entity.

2.A.5. Nondiscrimination:

Neither the ASF nor the Medical Staff will discriminate in granting Appointment, Reappointment, and/or clinical privileges on the basis of national origin, culture, race, gender, sexual orientation, gender identity, age, ethnic/national identity, religion, disability unrelated to the provision of patient care to the extent the individual is otherwise qualified.

2.B. GENERAL CONDITIONS OF APPOINTMENT AND REAPPOINTMENT

2.B.1. Basic Responsibilities and Requirements:

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

- (a) to provide continuous and timely quality care to all patients for whom the individual has responsibility;
- (b) to abide by all Bylaws, policies, and Rules and Regulations of the ASF, Medical Staff, and WellSpan in force during the time the individual is appointed;
- (c) to participate in Medical Staff affairs through participation in quality improvement and professional practice evaluation activities, and by performing such other reasonable duties and responsibilities as may be assigned;
- (d) within the scope of his or her clinical privileges and pertinent to relevant Medical Staff category
- (e) to comply with clinical practice or evidence-based medicine protocols that are established by, and must be reported to, regulatory or accrediting agencies or patient safety organizations, including those related to national patient safety initiatives and core measures, or clearly document the clinical reasons for variance;
- (f) to comply with clinical practice or evidence-based medicine protocols pertinent to his or her medical specialty, as may be adopted by the Medical Staff or the Medical Director, or to clearly document the clinical reasons for variance;
- (g) to inform Medical Staff Services, in writing, as soon as possible, but in all cases within 10 days, of any change in the Practitioner's status or any change in the information provided on the individual's application form. This information shall be provided with or without request and shall include, but not be limited to:
 - (1) any and all complaints regarding, or changes in, licensure status or DEA or state-controlled substance authorization,
 - (2) adverse changes in professional liability insurance coverage,

- (3) the filing of a professional liability lawsuit against the Practitioner, any settlements or payments involving the Practitioner, or any verdicts against the Practitioner,
 - (4) changes in the Practitioner's status (appointment, permission to practice, or clinical privileges) at any other ASF or health care entity as a result of peer review activities or in order to avoid initiation of peer review activities,
 - (5) changes in the Practitioner's employment status at any medical group or ASF as a result of issues related to clinical competence or professional conduct,
 - (6) knowledge of a criminal investigation involving the individual, arrest, charge, indictment, conviction, or a plea of guilty or no contest in any criminal matter other than a misdemeanor traffic citation,
 - (7) exclusion or preclusion from participation in Medicare/Medicaid or any sanctions imposed,
 - (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, a physical, mental, or emotional condition that could adversely affect the Practitioner's ability to practice safely and competently, or impairment due to addiction, alcohol use, or other similar issue (all of which shall be referred for review under the practitioner health policy),
 - (9) any referral to a state board health-related program, and
 - (10) any charge of, or arrest for, driving under the influence ("DUI") (which shall be referred for review under the practitioner health policy);
- (h) to immediately submit to an appropriate evaluation, which may include diagnostic testing (including, but not limited to, a blood and/or urine test) and/or a complete physical, mental, and/or behavioral evaluation, if the Medical Director (or one Medical Staff Leader and one member of the Administrative Leadership) is concerned with the individual's ability to safely and competently care for patients. In emergent circumstances in which a Practitioner is displaying behavior that may pose an immediate safety threat to patients or others, one individual (the Medical Director or a member of the Administrative Leadership) may require that the individual submit to an evaluation as described above. The health care professional(s) to perform the testing and/or evaluations shall be determined by the Medical Director and the Practitioner must execute all appropriate releases to permit the sharing of information with the Medical Director

- (i) to meet with the Medical Director and/or members of the Administrative Leadership upon request, to provide information regarding professional qualifications upon written request, and to participate in collegial efforts with the Medical Director and/or Administrative Leadership as may be requested;
- (j) to appear for personal or phone interviews in regard to an application for initial appointment or reappointment, if requested;
- (k) to maintain and regularly monitor a current and primary e-mail address which shall be provided to Medical Staff Services, and acknowledge that the provided e-mail address will be the primary mechanism that will be used to communicate all Medical Staff information to the Practitioner;
- (l) to provide a valid mobile phone number, with texting capability, in order to facilitate Practitioner-to-Practitioner communication;
- (m) to not engage in illegal fee splitting or other illegal inducements relating to patient referral;
- (n) to not delegate responsibility for ASF patients to any individual who is not qualified or adequately supervised;
- (o) to not deceive patients as to the identity of any individual providing treatment or services and to always wear proper ASF identification of their name and status;
- (p) to seek consultation whenever required or necessary;
- (q) to complete all medical records in a timely manner and utilize the electronic medical record system for patients referred or admitted to the ASF as required;
- (r) to cooperate with all care management activities;
- (s) to participate in an Organized Health Care Arrangement with the ASF and abide by the terms of the ASF's Notice of Privacy Practices with respect to health care delivered in the ASF;
- (t) to perform all services and conduct himself or herself at all times in a cooperative and professional manner;
- (u) to promptly pay any applicable dues, assessments, and/or fines;
- (v) to attend and participate in any applicable orientation programs at the ASF before participating in direct patient care;

- (w) if practicing as an Advanced Practice Professional, to comply with the standards of practice applicable to the functioning of Advanced Practice Professionals in the inpatient ASF setting, as set forth in Section 8.B of this Policy; and
- (x) that, if there is any misstatement in, or omission from, the application, the ASF may stop processing the application (or, if appointment has been granted prior to the discovery of a misstatement or omission, appointment and clinical privileges may be deemed to be automatically relinquished). In either situation, there shall be no entitlement to a hearing or appeal. The individual will be informed in writing of the nature of the misstatement or omission and permitted to provide a written response for the MEC's consideration. If the determination is made to not process an application or that appointment and privileges should be automatically relinquished pursuant to this provision, the individual may not reapply for a period of at least two years.

2.B.2. Burden of Providing Information:

- (a) Individuals seeking appointment, reappointment, and/or clinical privileges have the burden of producing information deemed adequate by the ASF for a proper evaluation of current competence, character, ethics, and other qualifications and for resolving any doubts about an individual's qualifications. The information to be produced includes such quality data and other information as may be needed to assist in an appropriate assessment of overall qualifications for appointment, reappointment, and current clinical competence for any requested clinical privileges, including, but not limited to, information from other ASFs, information from the individual's office practice, information from insurers or managed care organizations in which the individual participates, and/or receipt of confidential evaluation forms completed by referring/referred to physicians.
- (b) Individuals seeking appointment, reappointment, and/or clinical privileges have the burden of providing evidence that all the statements made and information given on the application are accurate and complete.
- (c) Complete Application: An application shall be complete when all questions on the application form have been answered, all supporting documentation has been supplied, all information has been verified from primary sources, and any required application fees and applicable fines have been paid. An application shall become incomplete if the need arises for new, additional, or clarifying information at any time during the credentialing process. Whenever there is a need for new, additional, or clarifying information – outside of the normal, routine credentialing process – the application will not be processed until the information is provided. If the application continues to be incomplete 30 Days after the individual has been notified of the additional information required, the application will be deemed to be withdrawn and the individual may not submit another application for appointment or clinical privileges for a period of two years.

- (d) The individual seeking appointment, reappointment and/or clinical privileges is responsible for providing a complete application, including adequate responses from references. An incomplete application shall not be processed.

2.C. APPLICATION

2.C.1. Information:

- (a) Applications for appointment and reappointment shall contain a request for specific clinical privileges and shall require detailed information concerning the individual's professional qualifications. The applications for initial appointment and reappointment existing now and as may be revised are incorporated by reference and made a part of this Policy.
- (b) In addition to other information, the applications shall seek the following:
 - (1) information as to whether the applicant's appointment or clinical privileges have been voluntarily or involuntarily relinquished, withdrawn, denied, revoked, suspended, subjected to probationary or other conditions, reduced, limited, terminated, or not renewed at any other ASF, health care facility, or other organization, or are currently being investigated or challenged;
 - (2) information as to whether the applicant's license to practice any relevant profession in any state, DEA registration, or any state's controlled substance license has been voluntarily or involuntarily suspended, modified, terminated, restricted, or relinquished or is currently being investigated or challenged;
 - (3) information concerning the applicant's professional liability litigation experience, including past and pending claims, final judgments, or settlements; the substance of the allegations as well as the findings and the ultimate disposition; and any additional information concerning such proceedings or actions as the MEC, or the Board may request;
 - (4) current information regarding the applicant's ability to safely and competently exercise the clinical privileges requested; and
 - (5) a copy of a government-issued photo identification as well as a plain photograph utilized by the ASF for identification purposes.
- (c) The applicant shall sign the application and certify that he or she is able to perform the privileges requested and the responsibilities of appointment.

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

By requesting an application and/or applying for appointment, reappointment, or clinical privileges, the individual expressly accepts the conditions set forth in this Section:

(a) 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 ASF or any of its affiliates or subsidiaries, or any of their Boards, Board members, Medical Staffs, Medical Staff members, Advanced Practice Professionals, Licensed Independent Practitioners, representatives or agents, or any third parties who provide information for any matter relating to appointment, reappointment, clinical privileges, or the individual's qualifications for the same. This immunity covers any actions, recommendations, communications, and/or disclosures involving the individual that are made, taken, or received by any entities or individuals named above in the course of credentialing and peer review activities. This immunity also extends to any reports that may be made to government regulatory and licensure boards or agencies pursuant to federal or state law.

(b) Authorization to Obtain Information from Third Parties:

The individual specifically authorizes the ASF, its Medical Staff, the Medical Director, and their authorized representatives (1) to consult with any third party who may have information bearing on the individual's professional qualifications, credentials, clinical competence, character, ability to perform safely and competently, ethics, behavior, or any other matter reasonably having a bearing on his or her qualifications for initial and continued appointment to the Medical Staff and/or clinical privileges, and (2) to obtain any and all communications, reports, records, statements, documents, recommendations or disclosures of third parties that may be relevant to such questions. The individual also specifically authorizes these third parties to release this information to the ASF, its Medical Staff, the Medical Director, and their authorized representatives upon request. Further, the individual agrees to sign necessary consent forms to permit a consumer reporting agency to conduct a criminal background check on the individual and report the results to the ASF.

(c) Authorization to Release Information to Third Parties:

The individual also authorizes ASF, its Medical Staff, and their authorized representatives to release information to (i) other ASFs, health care facilities, managed care organizations, and their agents when information is requested in order to evaluate his or her professional qualifications for appointment, privileges, and/or participation at the requesting organization/facility, (ii) persons or entities external to the ASF that are assessing the individual's professional qualifications, competence, or health pursuant to a review that the individual has been notified is occurring under applicable ASF or Medical Staff policies, and (iii) any government regulatory and licensure boards or agencies pursuant to federal or state law. The

disclosure of any Privileged Peer Review Information in response to such inquiries does not waive any associated privilege, and any and all disclosures shall be made with the understanding that the receiving entity will only use such Privileged Peer Review Information for Peer Review purposes.

(d) Authorization to Share Information Among WellSpan Entities:

The individual authorizes the ASF and its affiliated entities to share credentialing, professional practice evaluation, peer review, and other information and documentation pertaining to the individual's clinical competence, professional conduct, and/or health, including, but not limited to, reported concerns, peer references, fitness for practice evaluation results, and clinical competency evaluation results. This information and documentation may be shared at any time, including, but not limited to, at the time of any initial evaluation of an individual's qualifications, at the time of any periodic reassessment of those qualifications, or when a question is raised about the individual throughout a term of Appointment.

(e) Hearing and Appeal Procedures:

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

(f) Legal Actions:

If, despite this Section, an individual institutes legal action challenging any credentialing, privileging, peer review, or other action affecting appointment or clinical privileges, or any report that may be made to a regulatory board or agency, and does not prevail, he or she shall reimburse the ASF, any of its affiliates or subsidiaries, and any of their Board members, Medical Staff members, Advanced Practice Professionals, Licensed Independent Practitioners, authorized representatives, agents, and employees who are involved in the action for all costs incurred in defending such legal action, including reasonable attorney's fees, expert witness fees, and lost revenues.

(g) Scope of Section:

All of the provisions in this Section 2.C.2 are applicable in the following situations:

- (1) whether or not appointment or clinical privileges are granted;
- (2) throughout the term of any appointment or reappointment period and thereafter;

- (3) should appointment, reappointment, or clinical privileges be revoked, reduced, restricted, suspended, and/or otherwise affected as part of the ASF's professional review activities;
- (4) as applicable, to any third-party inquiries received after the individual leaves the Medical Staff or no longer practices as an Advanced Practice Professional or Licensed Independent Practitioner about his or her tenure at the ASF; and
- (5) as applicable, to any reports that may be made to government regulatory and licensing boards or agencies pursuant to federal or state law.

ARTICLE 3

PROCEDURE FOR INITIAL APPOINTMENT AND CLINICAL PRIVILEGES

3.A. PROCEDURE FOR INITIAL APPOINTMENT AND CLINICAL PRIVILEGES

3.A.1. General Principles:

- (a) This Article describes each step in the review process regarding applications for initial appointment and clinical privileges.
- (b) A determination to appoint an applicant to the Medical Staff is based upon an assessment of the applicant's qualifications for appointment. These factors are described in the definition of Non-Privileged Information in this Policy.
- (c) A determination to appoint does not confer any clinical privileges or right to admit or treat patients at the ASF. The granting of specific clinical privileges is a separate determination based upon a peer review assessment of the quality and efficiency of services ordered or performed by a Practitioner and other relevant factors. The factors that are assessed in granting clinical privileges are described in the definitions of Confidential Peer Review Evaluations, Privileged Peer Review Information, and Non-Privileged Information as set forth in Article 1 of this Policy. Additional provisions regarding the granting of clinical privileges are found in Article 4.

3.A.2. Request for Application:

- (a) Applications for appointment and clinical privileges will be submitted on approved forms or submitted through an approved portal/website.
- (b) An individual seeking initial appointment and privileges will be sent information that (i) outlines the threshold eligibility criteria for appointment outlined earlier in this Policy, (ii) outlines the applicable criteria for the clinical privileges being sought, and (iii) provides access to the application form.
- (c) Residents or fellows who are in the final six months of their training may apply to the Medical Staff. Such applications may be processed, but final action on the applications shall not become effective until all applicable threshold eligibility criteria are satisfied.

3.A.3. Information to Be Gathered Regarding Applicants:

- (a) Evidence of the applicant's character, professional competence, qualifications, behavior, and ethical standing shall be examined. This information may be contained in the application and obtained from Confidential Peer Review

Evaluations (from the same discipline where practicable) and from other available sources, including the applicant's past or current Department Chairs at other health care entities, residency/fellowship training director, and others who may have knowledge about the applicant's education, training, experience, and ability to work with others.

- (b) An interview(s) with the applicant, whether in person or via videoconference, may be conducted as part of the review process. The purpose of the interview is to discuss and review any aspect of the applicant's application, experience, qualifications, and requested clinical privileges. This interview may be conducted by the MEC, or the Medical Director. Applicants do not have the right to be accompanied by counsel to interviews being requested by any of the individuals or committees referenced above.

3.A.4. Initial Review of Application:

- (a) A completed application form with copies of all required documents must be returned to Medical Staff Services and/or the Credentials Verification Office ("CVO").
- (b) As a preliminary step, the application shall be reviewed by Medical Staff Services and/or CVO to determine that all questions have been answered and that the individual satisfies all threshold eligibility criteria. Incomplete applications shall not be processed. Individuals who fail to return completed applications or fail to meet the threshold eligibility criteria shall be notified that their applications shall not be processed. A determination of ineligibility does not entitle the individual to the hearing and appeal rights outlined in this Policy and is not reportable to any state agency or to the National Practitioner Data Bank.
- (c) Medical Staff Services and/or CVO shall conduct primary source verification of information relevant to the applicant's qualifications for appointment, as described in detail in the definition of Non-Privileged Information. Medical Staff Services and/or CVO shall then provide a report regarding Non-Privileged Information.
- (d) Medical Staff Services and/or CVO shall also obtain (i) Confidential Peer Review Evaluations from Professional Health Care Providers (e.g., ASF Affiliation Reports, Department Chair Evaluations, and Peer Reference Evaluations) regarding the quality and efficiency of services provided by the applicant, (ii) responses to National Practitioner Data Bank queries, and (iii) any other available Privileged Peer Review Information regarding the applicant.
- (e) Applications will be designated as Class I or Class II as set forth in **Appendix D** of this Policy.

3.A.5. Department Committee Procedure:

- (a) Medical Staff Services shall transmit the complete application and all supporting materials to the Medical Director in which the applicant seeks clinical privileges. The Medical Director shall prepare a written report regarding whether the applicant has satisfied all of the qualifications for appointment and the clinical privileges requested on a form provided by Medical Staff Services.
- (b) The Medical Director may recommend that an application designated as Class I be reclassified as Class II as part of making its assessment.
- (c) The Medical Director shall be available to the MEC, and the Board to answer any questions that may be raised with respect to the report his/her findings.

3.A.7. MEC Recommendation:

- (a) The MEC shall review and consider the report prepared by the relevant Medical Director and shall make a recommendation.
- (b) The MEC may consider and act upon Class I applications with as a group if the Committee is making a favorable recommendation, without any conditions. Class II applications, as well as any Class I application that the MEC is recommending subject to conditions or upon which the MEC is making an unfavorable recommendation must be considered individually.
- (c) The MEC may use the expertise of the Medical Director or an outside consultant, if additional information is required regarding the applicant's qualifications.
- (d) After determining that an applicant is otherwise qualified for appointment and privileges, the MEC may require the applicant to provide information regarding his or her health status and/or to undergo a physical, mental, and/or behavioral examination by a physician(s) satisfactory to the MEC if there is any question about the applicant's ability to perform the clinical privileges requested and the responsibilities of appointment. The results of this examination shall be made available to the committee for its consideration. Failure of an applicant to undergo an examination within a reasonable time after being requested to do so in writing by the MEC shall be considered a voluntary withdrawal of the application and all processing of the application shall cease. The cost of the health assessment will be borne by the applicant.
- (e) The MEC may recommend specific conditions on appointment and/or clinical privileges. These conditions may relate to behavior (e.g., personal code of conduct) or to clinical issues (e.g., general consultation requirements, appropriate documentation requirements, proctoring, completion of CME requirements). The MEC may also recommend that appointment be granted for a period of less than

two years in order to permit closer monitoring of an individual's compliance with any conditions. Unless these matters involve the specific recommendations set forth in Section 7.A.1(a) or Section 8.F.2 of this Policy, as pertinent, if such conditions are adopted by the MEC, they would not entitle an individual to request the procedural rights set forth in Article 7 or Article 8 of this Policy.

- (f) The MEC shall:
 - (1) adopt the findings and recommendation presented to it; or
 - (2) refer the matter back to the Medical Director for further consideration and responses to specific questions raised by the MEC prior to its final recommendation; or
 - (3) disagree with the findings and recommendations presented to it and make its independent recommendation regarding the applicant.
- (g) If the recommendation of the MEC is to appoint and grant clinical privileges, the recommendation shall be forwarded to the Board.
- (h) If the recommendation of the MEC is unfavorable and the overall recommendation, or any recommended conditions on appointment, would entitle the applicant to request a hearing in accordance with Section 7.A.1(a) or 8.F.2 of this Policy, as pertinent, the MEC shall forward its recommendation to the ASF President, who shall promptly send Special Notice to the applicant. The ASF President shall then hold the application until after the applicant has completed or waived a hearing and appeal.

3.A.8. Board Action:

- (a) Expedited Review: The Board may delegate to a committee, consisting of at least two Board members, action on Class I applications for appointment, reappointment, and clinical privileges if there has been a favorable recommendation from the Medical Director and there is no evidence of any of the following:
 - (1) a current or previously successful challenge to any license or registration;
 - (2) an involuntary termination, limitation, reduction, denial, or loss of appointment or clinical privileges at any other ASF or other entity; or
 - (3) an unusual pattern of, or an excessive number of, professional liability actions resulting in a final judgment against the applicant.

Any decision reached by the Board Committee to appoint shall be effective immediately.

- (b) Full Board Review: When there has been no delegation to the Board Committee on any Class I application, and for the review of all Class II applications, upon receipt of a recommendation that the applicant be granted appointment and clinical privileges, the Board may:
 - (1) appoint the applicant and grant clinical privileges as recommended; or
 - (2) refer the matter back to the Medical Director or MEC or to another source inside or outside the ASF for additional research or information; or
 - (3) reject or modify the recommendation.
- (c) If the Board determines to reject a favorable recommendation, it should first discuss the matter with the MEC. If the Board's determination remains unfavorable to the applicant, the ASF President shall promptly send Special Notice to the applicant that the applicant is entitled to request a hearing.
- (d) Any final decision by the Board to grant, deny, revise or revoke appointment and/or clinical privileges will be disseminated to appropriate individuals and, as required, reported to appropriate entities.

3.A.9. Time Periods for Processing:

Once an application is deemed complete and verified, it is expected to be processed within 120 days, unless it becomes incomplete. This time period is intended to be a guideline only and shall not create any right for the applicant to have the application processed within this precise time period.

3.A.10. Duration of Appointment:

All initial appointments and any other initial grants of clinical privileges pursuant to this Policy shall be for a duration of not more than two years.

3.B. FPPE TO CONFIRM COMPETENCE AND PROFESSIONALISM

All initially granted clinical privileges, whether at the time of initial appointment, reappointment, or during the term of appointment, will be subject to focused professional practice evaluation ("FPPE") in order to confirm competence. The FPPE process for these situations is outlined in the WellSpan Health System Peer Review/Credentialed Provider Competency Assessment Policy.

ARTICLE 4

CLINICAL PRIVILEGES

4.A. CLINICAL PRIVILEGES

4.A.1. General:

- (a) Appointment or reappointment shall not confer any clinical privileges or right to admit or treat patients at the ASF. Each Practitioner who has been granted appointment is entitled to exercise only those clinical privileges specifically granted by the Board. Clinical privileges, once granted, may be exercised in person or via technology-enabled direct communication and evaluation (i.e., telemedicine) when that modality of treatment is available and has not been otherwise limited on the relevant delineation of privileges.
- (b) For requests for clinical privileges to be processed, all threshold criteria applicable to the clinical privileges being requested must be satisfied.
- (c) Requests for clinical privileges that are subject to an exclusive contract will not be processed except as consistent with the contract.
- (d) Requests for clinical privileges that have been grouped into Core Privileges will not be processed unless the individual has applied for the full core and satisfied all threshold eligibility criteria (or has obtained a waiver in accordance with Section 4.A.2).
- (e) The clinical privileges recommended to the Board shall be based upon a peer review assessment of the quality and efficiency of services ordered or performed by a Practitioner and other relevant factors. The factors that are assessed in granting clinical privileges are described in detail in the definitions of Confidential Peer Review Evaluations, Privileged Peer Review Information, and Non-Privileged Information contained in this Policy.
- (f) Core privileges, special privileges, clinical privilege delineations, and/or the criteria for the same shall be developed or endorsed by the Medical Director. The Medical Director shall forward his/her recommendations to the MEC, which will review the matter and forward its recommendations to the Board for final action.
- (g) The applicant has the burden of establishing his or her qualifications and current competence for all clinical privileges requested.

4.A.2. Privilege Modifications and Waivers:

- (a) Scope. This Section applies to all requests for modification of clinical privileges during the term of appointment (increases and relinquishments), resignation from the Medical Staff or as an Advanced Practice Professional or Licensed Independent Practitioner, and waivers related to eligibility criteria for clinical privileges or the scope of those privileges.
- (b) Submitting a Request. Requests for privilege modifications, waivers, and resignations must be submitted in writing or electronically to Medical Staff Services.
- (c) Increased Privileges.
 - (1) Requests for increased privileges must state the specific additional clinical privileges requested and provide information sufficient to establish eligibility, as specified in applicable criteria, and current clinical competence.
 - (2) If the individual is eligible and the application is complete, it will be processed in the same manner as an application for initial clinical privileges unless the Medical Director determines that the privileges being requested are for a “new procedure” as defined in Section 4.A.3. In such cases, the matter will be referred for review in accordance with that section.
- (d) Waivers.
 - (1) Any individual who does not satisfy one or more eligibility criteria for clinical privileges may request that it be waived. The individual 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. All such requests shall be processed in accordance with Section 2.A.2 of this Policy.
 - (2) If the individual is requesting a waiver of the requirement that each individual apply for the full core of privileges in his or her specialty, the process set forth in this paragraph shall apply.
 - (i) Formal Request: The individual must forward a written or electronic request to Medical Staff Services, which must indicate the specific patient care services within the core that the Practitioner does not wish to provide, state a good cause basis for the request, which may include evidence that the individual does not provide the patient care services at issue in any health care facility.

- (ii) Review Process: A request for a waiver shall be submitted to the MEC for consideration. In reviewing the request for a waiver, the MEC shall first obtain input from the Medical Director and may also consider the factors outlined in Paragraph (f) below. The MEC shall review the recommendation of the Medical Director and make a recommendation to the Board regarding whether to grant or deny the request for a waiver.

(e) Relinquishment and Resignation of Privileges.

- (1) Relinquishment of Individual Privileges. A request to relinquish any individual clinical privilege, whether or not part of the core, must provide a good cause basis for the modification of privileges. All such requests will be processed in the same manner as a request for waiver, as described above.
- (2) Resignation of Appointment and Privileges. A request to resign appointment and relinquish all clinical privileges must specify the desired date of resignation, which must be at least 30 days from the date of the request, and be accompanied by evidence that the individual will be able to accomplish the following by the specified end date:
 - (i) completion of all medical records;
 - (ii) as applicable, the appropriate discharge or transfer of responsibility for the care of any ASF patient who is under the individual's care at the time of resignation; and
 - (iii)

the the Medical Director will act on the resignation request with a report on the matter forwarded to the MEC. If an individual fails to complete the tasks listed above prior to the effective date of the resignation, he or she will not be considered to have resigned in "good standing" for purposes of future reference responses.

- (f) Factors for Consideration. The Medical Director and Board may consider the following factors, among others, when deciding whether to recommend or grant a modification (increases and/or relinquishments) or waiver related to core privileges:
 - (1) the ASF's mission and ability to serve the health care needs of the community by providing timely, appropriate care within its facilities;
 - (2) whether sufficient notice has been given to provide a smooth transition of patient care services;

- (3) fairness to the individual requesting the modification or waiver, including past service and the other demands placed on the individual;
 - (4) the expectations of other members of the Medical Staff who are in different specialties but who rely on the specialty in question in the care of patients who present to the ASF;
 - (5) any perceived inequities in modifications or waivers being provided to some, but not others;
 - (6) how the request may affect the ASF's ability to comply with applicable regulatory requirements.
- (g) Effective Date. If the Board grants a modification or waiver related to privileges, it shall specify the date that the modification or waiver will be effective. Failure of a Practitioner to request privilege modifications or waivers in accordance with this Section shall, as applicable, result in the Practitioner retaining appointment and clinical privileges and all associated responsibilities.
 - (h) Procedural Rights. No individual is entitled to a modification or waiver related to privileges. Individuals are also not entitled to a hearing or appeal or other process if a waiver or a modification related to a relinquishment of privileges is not granted.

4.A.3. Clinical Privileges for New Procedures:

- (a) Requests for clinical privileges to perform either a procedure not currently being performed at the ASF or a new technique to perform an existing procedure (hereafter, "new procedure") shall not be processed until (1) a determination has been made by ASF administration that the procedure shall be offered by the ASF, and (2) criteria to be eligible to request those clinical privileges have been established as set forth in this Section.
- (b) As an initial step in the process, the Practitioner seeking to perform the new procedure will prepare and submit a report to the Medical Director addressing the following:
 - (1) appropriate 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 ASFs and the experiences of those institutions; and
- (6) whether the ASF currently has the resources, including space, equipment, personnel, and other support services, to safely and effectively perform the new procedure.

ASF administration shall review this report and shall make a preliminary determination as to whether the new procedure should be offered to the community.

- (c) If the preliminary determination of the ASF is favorable, the MEC will determine whether the request constitutes a “new procedure” as defined by this Section or if it is an extension of an existing privilege. If it is determined that it does constitute a “new procedure,” the MEC (or a designated, multidisciplinary New Technology Committee, in which case “MEC” will be interpreted as the New Technology Committee throughout in this Section) will then develop threshold credentialing criteria to determine those individuals who are eligible to request the clinical privileges at the ASF. In developing the criteria, the MEC may conduct additional research and consult with experts, as necessary, and develop recommendations regarding:
 - (1) the appropriate education, training, and experience necessary to perform the procedure or service;
 - (2) the clinical indications for when the procedure or service is appropriate;
 - (3) the manner of addressing the most common complications that may arise in the performance of the new procedure;
 - (4) the extent (time frame and mechanism) of focused monitoring and supervision that should occur if the privileges are granted in order to confirm competence; and
 - (5) the manner in which the procedure would be reviewed as part of the ASF’s ongoing and focused professional practice evaluation activities.
- (d) The MEC will forward its recommendations to the Board for final action.
- (e) The Board will make a reasonable effort to render the final decision within 60 days of receipt of the MEC’s recommendation. If the Board determines to offer the procedure or service, it will then establish the minimum threshold qualifications that an individual must demonstrate in order to be eligible to request the clinical privileges in question.

- (f) Once the foregoing steps are completed, specific requests from eligible Practitioners who wish to perform the procedure or service may be processed.

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

- (a) Requests for clinical privileges that previously at the ASF have been exercised only by individuals from another specialty shall not be processed until the steps outlined in this Section have been completed and a determination has been made regarding the individual's eligibility to request the clinical privileges in question.
- (b) As an initial step in the process, the Practitioner seeking the privilege will prepare and submit a report to the MEC that specifies the minimum qualifications needed to perform the procedure safely and competently, whether the individual's specialty is performing the privilege at other similar ASFs, and the experiences of those other ASFs in terms of patient care outcomes and quality of care. The Administrative Leadership will confirm the request is permissible under any existing exclusive contracts or Board directives regarding a closed service that are in place at the ASF before the request is forwarded to the MEC.
- (c) The MEC shall then conduct additional research and consult with experts, as necessary, including those on the Medical Staff (e.g., individuals on the Medical Staff with special interest and/or expertise) and those outside the ASF (e.g., other ambulatory surgical facilities, residency training programs, specialty societies).
- (d) The MEC may or may not recommend that individuals from different specialties be permitted to request the privileges at issue. If it does, the committee may develop recommendations regarding:
 - (1) the appropriate education, training, and experience necessary to perform the clinical privileges in question;
 - (2) 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;
 - (3) the extent (time frame and mechanism) of focused monitoring and supervision that should occur if the privileges are granted in order to confirm competence;
 - (4) the manner in which the privileges would be reviewed as part of the ASF'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

- (e) The MEC shall forward its recommendations to the Board for final action. The Board shall make a reasonable effort to render the final decision within 60 days of receipt of the MEC's recommendation.
- (f) Once the foregoing steps are completed, specific requests from eligible Practitioners who wish to exercise the privileges in question may be processed.

4.A.5. Clinical Privileges for Dentists and Oral and Maxillofacial Surgeons:

- (a) The scope and extent of surgical procedures that a Dentist or Oral and Maxillofacial Surgeon may perform in the ASF shall be delineated and recommended in the same manner as other clinical privileges.
- (b) Surgical procedures performed by Dentists and Oral and Maxillofacial Surgeon shall be under the overall supervision of the Medical Director. A medical history and physical examination of the patient shall be made and recorded by a qualified Practitioner who has been granted clinical privileges to complete medical histories and physical examinations before dental surgery shall be performed, and a designated Physician shall be responsible for the medical care of the patient throughout the patient's time at the ASF.
- (c) The Dentist or Oral and Maxillofacial Surgeon shall be responsible for the dental care of the patient, including the dental history and dental physical examination, as well as all appropriate elements of the patient's record. Dentists and Oral and Maxillofacial Surgeon may write orders within the scope of their license and consistent with the Medical Staff Rules and Regulations and in compliance with the ASF and Medical Staff Bylaws and this Policy.
- (d) A Dentist or Oral and Maxillofacial Surgeon may make a specific request for an exception from paragraph (b) above and may request to be able to complete a history and physical examination on dental surgery patients upon demonstration of adequate training in the completion of histories and physical examinations. If such an exception is granted by the MEC, the Dentist or Oral and Maxillofacial Surgeon is still required to identify a designated Physician member of the Medical Staff who has agreed to be responsible for the medical care of the patient throughout the patient's time at the ASF.

4.A.6. Clinical Privileges for Podiatrists:

- (a) The scope and extent of surgical procedures that a Podiatrist may perform in the ASF shall be delineated and recommended in the same manner as other clinical privileges.
- (b) Surgical procedures performed by Podiatrists shall be under the Medical Director . A medical history and physical examination of the patient shall be made and

recorded by a qualified Practitioner who has been granted clinical privileges to complete medical histories and physical examinations before podiatric surgery shall be performed, and a designated Physician member of the Medical Staff shall be responsible for the medical care of the patient throughout the patient's time at the ASF.

- (c) The Podiatrist shall be responsible for the podiatric care of the patient, including the podiatric history and podiatric physical examination, as well as all appropriate elements of the patient's record. Podiatrists may write orders within the scope of their license and consistent with the Medical Staff Rules and Regulations and in compliance with the ASF and Medical Staff Bylaws and this Policy.
- (d) A Podiatrist may make a specific request for an exception from paragraph (b) above and may request to be able to complete a history and physical examination on podiatric surgery patients upon demonstration of adequate training in the completion of histories and physical examinations. If such an exception is granted by the MEC, the Podiatrist is still required to identify a designated Physician member of the Medical Staff who has agreed to be responsible for the medical care of the patient throughout the patient's time at the ASF.

4.A.7. Physicians in Training:

- (a) Physicians in residency training shall not hold appointments to the Medical Staff and shall not be granted clinical privileges. The program director, clinical faculty, and/or attending staff member shall be responsible for the direction and supervision of the on-site and/or day-to-day patient care activities of each trainee, who shall be permitted to perform only those clinical functions set out in curriculum requirements, affiliation agreements, and/or training protocols approved by the ASF. The Medical Director shall be responsible for verifying and evaluating the qualifications of each physician in training.
- (b) A physician in training at the fellowship level may request clinical privileges in an area for which he or she has already completed residency training if he or she can demonstrate that all necessary eligibility criteria as set forth in this Policy have been met. Requests for such clinical privileges shall be reviewed in accordance with the initial credentialing process outlined in this Policy and, if granted, shall be subject to all relevant oversight provisions, including ongoing and focused professional practice evaluation. Physicians in training at the fellowship level may only be granted clinical privileges in those areas for which they can demonstrate current clinical competence.

4.A.8. Telemedicine Privileges for Distant-Site Practitioners:

- (a) A qualified individual providing services from a distant-site location may be granted telemedicine privileges regardless of whether the individual is Appointed

to the Medical Staff or granted permission to practice as an Advanced Practice Provider or Licensed Independent Practitioner.

- (b) Requests for initial or renewed telemedicine privileges by distant-site Practitioners will be processed through one of the following options, as determined by the ASF President in consultation with Medical Director:
 - (1) A request for telemedicine privileges may be processed through the same process for Medical Staff applications, as set forth in this Policy. In such case, the distant-site Practitioner must satisfy all qualifications and requirements set forth in this Policy
 - (2) If the distant-site Practitioner is practicing at a distant healthcare facility that participates in Medicare or is accredited by The Joint Commission or a telemedicine entity (as that term is defined by Medicare), a request for telemedicine privileges may be processed using an abbreviated process that relies on the credentialing and privileging decisions made by the distant healthcare facility or telemedicine entity. In such cases, the ASF must ensure, through a written agreement, that the distant healthcare facility or telemedicine entity will comply with all applicable Medicare regulations and accreditation standards. The distant healthcare facility or telemedicine entity must provide:
 - (i) confirmation that the distant-site Practitioner is licensed in Pennsylvania;
 - (ii) a current list of clinical privileges granted to the distant-site Practitioner;
 - (iii) information indicating that the distant-site Practitioner has actively exercised the relevant clinical privileges during the previous 12 months and has done so in a competent manner;
 - (iv) confirmation that the distant-site Practitioner satisfies all of the distant healthcare facility's or telemedicine entity's qualifications for the clinical privileges granted;
 - (v) confirmation that all information provided by the distant healthcare facility or telemedicine entity is complete, accurate, and up-to-date; and
 - (vi) any other confirmation, attestations, or information required by the agreement or requested by the ASF.

This information shall be provided to the MEC for review and recommendation to the Board for final action. Notwithstanding the process

set forth in this subsection, the ASF may determine that a distant-site Practitioner is ineligible for appointment or clinical privileges if the individual fails to satisfy the threshold eligibility criteria set forth in this Policy.

- (c) Telemedicine privileges, if granted, shall be for a period of not more than two years.
- (d) Distant-site Practitioners who have been granted telemedicine privileges shall be subject to the ASF's peer review activities. The results of the peer review activities, including any adverse events and complaints filed about the distant-site Practitioner by patients, other practitioners or staff, will be shared with the distant healthcare facility or entity providing telemedicine services.
- (e) Telemedicine privileges granted in conjunction with a contractual agreement shall be incident to and coterminous with the agreement.

4.B. TEMPORARY CLINICAL PRIVILEGES

4.B.1. Eligibility to Request Temporary Clinical Privileges:

- (a) Applicants. Temporary privileges for an applicant for initial appointment may be granted by the Medical Director under the following conditions:
 - (1) the applicant has submitted a complete application;
 - (2) the verification process is complete, including verification of current licensure, relevant training or experience, current competence, ability to exercise the privileges requested, and current professional liability coverage; compliance with privileges criteria; and consideration of information from the National Practitioner Data Bank, from a criminal background check, and from Office of Inspector General ("OIG") queries;
 - (3) the applicant demonstrates that (i) there are no current or previously successful challenges to his or her licensure or registration, and (ii) he or she has not been subject to involuntary termination of appointment or involuntary limitation, reduction, denial, or loss of clinical privileges, at another health care facility;
 - (4) the application is pending review by the MEC and the Board, following a favorable recommendation by the Medical Director
 - (5) temporary privileges for a new applicant will be granted for a maximum period of 120 consecutive days.
- (b) Locum Tenens. The Medical Director may grant temporary privileges to an individual serving as a locum tenens either for a Practitioner who is on vacation,

attending an educational seminar, ill, or otherwise needs coverage assistance for a period of time, or when the ASF requires additional coverage in a service area, under the following conditions:

- (1) the applicant has submitted an appropriate application;
 - (2) the verification process is complete, including verification of current licensure, current competence (verification of good standing in a healthcare facility where the individual practiced for at least the previous year), ability to exercise the privileges requested, and current professional liability coverage; compliance with privileges criteria; and consideration of information from the National Practitioner Data Bank, from a criminal background check, and from OIG queries;
 - (3) the applicant demonstrates that s/he meets the criteria to have an application processed as a Class I application as defined in **Appendix D** of this Policy;
 - (4) the applicant has received a favorable recommendation from the Medical Director;
 - (5) the applicant will be subject to any focused professional practice requirements established by the ASF; and
 - (6) the individual may exercise locum tenens privileges for a maximum of 120 days (if it is anticipated that such individuals will provide services for longer than 120 days, they must apply for full Appointment and privileges).
- (c) Visiting. The Medical Director may also grant temporary privileges in other limited situations when there is an important patient care, treatment, or service need, under the following circumstances:
- (1) the temporary privileges are needed (i) for the care of a specific patient; (ii) when a proctoring or consulting Practitioner is needed, but is otherwise unavailable; or (iii) when necessary to prevent a lack or lapse of services in a needed specialty area (which specialty need must be verified and approved by the Medical Director in advance of processing any such requests);
 - (2) the following factors are considered and/or verified prior to the granting of temporary privileges: current licensure, relevant training or experience, current competence (verification of good standing in the individual's most recent healthcare facility affiliation), current professional liability coverage acceptable to the ASF, and results of a query to the National Practitioner Data Bank, and from OIG queries; and
 - (3) the grant of clinical privileges in these situations will not exceed 60 days.

Any individual seeking visiting temporary privileges who is currently appointed in good standing to another WellSpan healthcare facility with a grant of clinical privileges relevant to the request for visiting privileges shall be immediately authorized to exercise visiting privileges upon verification of good standing by Medical Staff Services and the completion of a query to the National Practitioner Data Bank; verification of the additional factors referenced above is not required. For all other individuals, the verifications for such grants of privileges shall generally be accomplished in advance; however, in an emergency situation, where life-threatening circumstances exist, the verifications listed above may be completed immediately after the grant of privileges.

- (d) Automatic Expiration. All grants of temporary privileges shall automatically expire upon the date specified at the time of initial granting unless further affirmative action is taken to renew such temporary privileges by the Medical Director.
- (e) Compliance with Bylaws and Policies. Prior to any temporary privileges being granted, the individual must agree in writing to be bound by the Bylaws, Rules and Regulations, policies, procedures, and protocols of the Medical Staff and the ASF.
- (f) FPPE. Individuals who are granted temporary privileges will be subject to the ASF policy regarding focused professional practice evaluation.

4.B.2. Supervision Requirements:

Special requirements of supervision and reporting may be imposed on any individual granted temporary clinical privileges.

4.B.3. Withdrawal of Temporary Privileges:

- (a) The Medical Director may withdraw temporary privileges at any time. Clinical privileges shall then expire as soon as patients have been discharged or alternate care has been arranged.
- (b) If the care or safety of patients might be endangered by continued treatment by the individual granted temporary privileges, the Medical Director may immediately withdraw all temporary privileges. The Medical Director shall assign to another Practitioner responsibility for the care of such individual's patients until they are discharged or an appropriate transfer arranged. Whenever possible, consideration shall 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 a patient(s) and in which any delay in administering treatment would add to that harm.

- (2) In an emergency situation, a Practitioner 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 shall be assigned by the Department Chair 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 Medical Director may use a modified credentialing process to grant disaster privileges to eligible volunteer licensed independent Practitioners (“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: (i) current ASF picture ID card that clearly identifies the individual’s professional designation; (ii) current license to practice; (iii) primary source verification of the license; (iv) 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 Reserve Corps, the Emergency System for Advance Registration of Volunteer Health Professionals, or other recognized state or federal organizations or groups; or (v) identification by a current ASF employee or Medical 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 ASF.
- (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 shall be conducted through direct observation, mentoring, clinical record review, or other appropriate mechanism developed by the Medical Staff and ASF. The exercise of disaster privileges shall not exceed a period of six months.

4.E. EXCLUSIVE ARRANGEMENTS

4.E.1. General Principles Applicable to All Exclusive Arrangements:

- (a) Types of Exclusive Arrangements. The ASF may enter into arrangements with Practitioners and/or groups of Practitioners for the exclusive performance of clinical and administrative services at the ASF. The ASF may accomplish this by:
 - (1) entering into a contract that confers the exclusive right to perform specified services to one or more Practitioners or groups of Practitioners; or
 - (2) passing a Board resolution that limits those who may exercise clinical privileges in a clinical specialty to employees of the ASF or its affiliates.
- (b) Credentialing Requirements. All such Practitioners must obtain and maintain clinical privileges at the ASF in accordance with the terms and processes outlined in this Policy.
- (c) Effect on Applicants for Clinical Privileges. Only Practitioners who are authorized by an exclusive arrangement are eligible to apply for the clinical privileges that are covered by the exclusive arrangement at the time of initial appointment or reappointment.
- (d) Effect on Existing Clinical Privileges and Medical Staff Appointment.
 - (1) Subject to the review process in Section 4.E.2, Practitioners who were granted clinical privileges prior to an exclusive arrangement being established are no longer eligible to exercise the clinical privileges covered by the exclusive arrangement, unless they are parties to it or an exception has been granted to them;
 - (2) A Practitioner who leaves a group that maintains an exclusive arrangement with the ASF is no longer eligible to exercise the clinical privileges covered by the arrangement upon the effective date of his or her departure from the group;
 - (3) If the ASF establishes a new exclusive arrangement that replaces an existing exclusive arrangement, the practitioners who were part of the former exclusive arrangement are no longer eligible to exercise the applicable

clinical privileges, unless they join the new exclusive provider or an exception has been granted to them; and

- (4) If ***all*** of an individual's clinical privileges are covered by an exclusive arrangement to which he or she is not a party, the individual will be deemed to have voluntarily resigned from the Medical Staff.
- (e) No Hearing and No Reporting Obligations. The inability of a Practitioner to exercise clinical privileges because of an exclusive arrangement is not a matter that entitles the Practitioner to request a hearing as outlined in Article 7 or requires a report to the state licensure board or to the National Practitioner Data Bank.
- (f) Contract Provisions Control. Except as provided in (b) above (i.e., requirement that all Practitioners be fully credentialed), in the event of any conflict between this Policy or the Medical Staff Bylaws and the terms of any exclusive contract, the terms of the contract shall control.

4.E.2. Process For Exclusive Arrangements in ***New*** Specialty Areas:

- (a) MEC Review. Prior to the ASF establishing an exclusive arrangement in a ***new*** specialty area (i.e., no prior exclusive arrangement), the Board will request the MEC's review of the matter. The MEC (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 arrangement 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 MEC (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) ASF administration. However, the actual terms of any such exclusive arrangement, and any financial information related to it, including but not limited to the remuneration to be paid to the Practitioners who may be a party to the arrangement, are not relevant and shall neither be disclosed to the MEC nor discussed as part of the MEC's review.

- (b) Meeting with Board or Board Committee. After receiving the MEC's report, the Board shall determine whether or not to proceed with an exclusive arrangement in the new specialty area. If the Board determines to do so, and if that determination would have the effect of preventing an existing Practitioner from exercising clinical privileges that had previously been granted, the affected Practitioner is entitled to the following notice and review procedures (*Note: If more than one Practitioner in a relevant specialty area will be affected by the determination of the Board, the following procedures will be coordinated to address all requested meetings in a combined and consolidated manner*):

- (1) The affected Practitioner shall be given at least 90 days' advance notice of the anticipated effective date of the exclusive arrangement and shall have the right to meet with the Board or a committee designated by the Board to discuss the matter prior to the exclusive contract being signed by the ASF or the Board resolution becoming effective. Any such meeting must be requested by the affected Practitioner and held within 30 days of the notice, unless this time frame is extended by mutual agreement.
- (2) At the meeting, the affected Practitioner shall be entitled to present any information that he or she believes is relevant to the Board's determination to enter into the exclusive arrangement.
- (3) If, following this meeting, the Board confirms its initial determination to enter into the exclusive arrangement, the affected Practitioner shall then be notified that he or she is ineligible to continue to exercise the clinical privileges covered by the exclusive arrangement, as described in Section 4.E.1(d) above.
- (4) The affected Practitioner shall not be entitled to any procedural rights beyond those outlined in this Section 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.

ARTICLE 5

PROCEDURE FOR REAPPOINTMENT

5.A. PROCEDURE FOR REAPPOINTMENT

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

5.A.1. Eligibility for Reappointment:

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

- (a) completed all medical records and be current at the time of reappointment;
- (b) satisfied all Medical Staff responsibilities, including payment of dues, fines, and assessments;
- (c) continued to meet all qualifications and criteria for appointment and the clinical privileges requested, including those set forth in Section 2.A.1 of this Policy;
- (d) paid the reappointment processing fee, if any; and
- (e) if applying for renewal of clinical privileges, had sufficient patient contacts to enable the assessment of current clinical judgment and competence for the privileges requested. Any individual seeking reappointment who has minimal activity at the ASF must submit such information as may be requested (such as a copy of his or her confidential quality profile from his or her primary healthcare facility, clinical information from the individual's office practice, and/or a quality profile from a managed care organization or insurer) before the application shall be considered complete and processed further. To the extent that information provided or portions thereof may include or be based upon Privileged Peer Review Information, it will be maintained in a manner consistent with its privileged status.

5.A.2. Factors for Evaluation:

In considering an individual's application for reappointment, the factors listed in Section 2.A.3 of this Policy will be considered. In addition, the information defined as Privileged Peer Review Information and Non-Privileged Information in Article 1 of this Policy will also be evaluated as part of the reappointment process.

5.A.3. Reappointment Application and Processing of Application:

- (a) An application for reappointment shall be made available to Practitioners at least four months prior to the expiration of their current appointment term. A completed reappointment application must be submitted to Medical Staff Services within 30 days.
- (b) Failure to submit a complete application at least three months prior to the expiration of the Practitioner's current term may result in the automatic expiration of appointment and clinical privileges at the end of the then current term of appointment unless the application can still be processed in the normal course, without extraordinary effort on the part of Medical Staff Services and the Medical Director. If an individual's privileges lapse due to a processing delay, subsequent Board action may be to grant reappointment and renewal of clinical privileges using the filed application, in accordance with the expedited process set forth in Section 3.A.7(a) presuming that the individual meets the definition of a Class I application as defined in **Appendix D**.
- (c) Reappointment shall be for a period of not more than two years.
- (d) The application shall be reviewed by Medical Staff Services to determine that all relevant information has been received and verified and that the individual satisfies all threshold eligibility criteria for reappointment and for the clinical privileges requested.
- (e) The steps outlined in Article 3 for the initial appointment process shall then be followed for the reappointment process.

5.A.4. Conditional Reappointments:

- (a) Recommendations for reappointment and renewed privileges may be contingent on a Practitioner's compliance with certain specific conditions that have been recommended. These conditions may relate to behavior (e.g., personal code of conduct) or to clinical issues (e.g., general consultation requirements, appropriate documentation requirements, including timely completion of medical records, proctoring, completion of CME requirements). Unless the conditions involve the matters set forth in Section 7.A.1(a) or Section 8.F.2 of this Policy, such conditions do not entitle an individual to request the procedural rights set forth in Article 7 or Article 8 of this Policy, as applicable.
- (b) Reappointments may be recommended for periods of less than two years in order to permit closer monitoring of an individual's compliance with any conditions that have been recommended. A recommendation for reappointment for a period of less than two years does not, in and of itself, entitle an individual to the procedural rights set forth in Article 7 or Article 8, as applicable.

- (c) In addition, in the event the applicant for reappointment is the subject of an unresolved professional practice evaluation concern, a formal 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.A.5. Potential Adverse Recommendation:

- (a) If the MEC is considering a recommendation to deny reappointment or to reduce clinical privileges, the Medical Director will notify the Practitioner of the possible recommendation and invite the member to meet prior to any final recommendation being made.
- (b) Prior to this meeting, the Practitioner will be notified of the general nature of the information supporting the recommendation contemplated.
- (c) At the meeting, the Practitioner will be invited to discuss, explain, or refute this information. A summary of the interview will be made and included with the MEC's recommendation.
- (d) This meeting is not a hearing, and none of the procedural rules for hearings will apply. The Practitioner will not have the right to be accompanied by legal counsel at this meeting and no recording (audio or video) of the meeting shall be permitted or made.
- (e) If the Board determines to reject a favorable recommendation from the MEC, it should first discuss the matter with the Medical Director. If the Board's determination remains unfavorable to the applicant, the ASF President shall promptly send a Special Notice to the applicant that the applicant is entitled to request a hearing under this Policy.

5.A.6. Time Periods for Processing:

Once an application is deemed complete and verified, it is expected to be processed within 120 business days, unless it becomes incomplete. This time period is intended to be a guideline only and shall not create any right for the applicant to have the application processed within this precise time period.

5.B. FPPE TO CONFIRM COMPETENCE AND PROFESSIONALISM

All initially-granted clinical privileges, whether at the time of initial appointment, reappointment, or during the term of appointment, will be subject to focused professional practice evaluation ("FPPE") in order to confirm competence. The FPPE process for these situations is outlined in Section 3.B of this Policy.

ARTICLE 6

QUESTIONS INVOLVING MEDICAL STAFF MEMBERS, ADVANCED PRACTICE PROFESSIONALS, AND LICENSED INDEPENDENT PRACTITIONERS

6.A. INITIAL MENTORING EFFORTS AND PROGRESSIVE STEPS

- (1) This Policy encourages the use of initial mentoring efforts and progressive steps by the Medical Director and Administrative Leadership to address questions relating to a Practitioner's clinical practice, professional conduct, and/or health. The goal of these efforts is to arrive at voluntary, responsive actions by the Practitioner to resolve questions that have been raised. The Medical Director and members of the Administrative Leadership have been authorized by the MEC and Peer Review Committee to engage in initial mentoring efforts and progressive steps and all of these activities are undertaken on behalf of these committees as part of their Peer Review functions.
- (2) Initial mentoring efforts include activities such as:
 - (a) informal discussions or coaching by a Medical Director (e.g., advising an individual of policies regarding appropriate behavior, communication issues, , or the timely and adequate completion of medical records); and
 - (b) sharing comparative data, including any variations from clinical practice or evidence-based protocols or guidelines, in order to assist the individual with conforming his or her practice to appropriate norms.

There is no requirement that these efforts be documented, though brief documentation is encouraged to help determine if a pattern may be developing that would recommend a more formal response. When such documentation is created, it constitutes Privileged Peer Review Information and shall be maintained in the individual's Confidential Quality/Peer Review File, consistent with its privileged status.

- (3) Progressive steps are defined as follows:
 - (a) addressing minor performance issues through informational letters;
 - (b) sending an educational letter that describes opportunities for improvement and provides specific guidance and suggestions;
 - (c) facilitating formal collegial counseling (i.e., a planned, face-to-face meeting between an individual and the Medical Director) in order to directly discuss a matter and the steps needed to be taken to resolve it; and

- (d) developing a voluntary performance improvement plan, which may include a wide variety of tools and techniques that can result in a constructive and successful resolution of the concern.

All progressive steps shall be documented in a constructive manner and included in an individual's confidential file. All such documentation constitutes Privileged Peer Review Information and shall be maintained in a confidential manner consistent with its privileged status. Any written responses to any of these Progressive Steps by the individual shall also be included in the individual's Confidential Quality/Peer Review File.

- (4) All of these efforts are fundamental and integral components of the ASF's Peer Review/professional practice evaluation activities and are confidential and privileged in accordance with Pennsylvania law.
- (5) Initial mentoring efforts and progressive steps are encouraged, but are not mandatory, and shall be within the discretion of the Medical Director and Administrative Leadership, acting on behalf of Peer Review Committees. When a question arises, the Medical Director and/or Administrative Leadership may:
 - (a) address it pursuant to the initial mentoring efforts and progressive steps provisions of this Section;
 - (b) refer the matter for review in accordance with the Medical Staff's policies pertaining to peer review/professional practice evaluation, professionalism, Practitioner health, and/or other relevant policy; or
 - (c) refer it to the MEC for its review and consideration in accordance with Section 6.D of this Article.
- (6) Should any recommendation be made or an action taken that entitles an individual to a hearing in accordance with this Policy, the individual is entitled to be accompanied by legal counsel at that hearing. However, Practitioners do not have the right to be accompanied by counsel when the Medical Director and members of the Administrative Leadership are engaged in initial mentoring efforts or other progressive steps. These efforts are intended to resolve issues in a constructive manner and do not involve the formal hearing process. In addition, there shall be no recording (audio or video) or transcript made of any meetings that involve initial mentoring efforts or progressive steps activities.

6.B. PROFESSIONAL PRACTICE EVALUATION ACTIVITIES

Professional practice evaluation activities shall be conducted in accordance with the Medical Staff's policies pertaining to peer review/professional practice evaluation, professionalism, Practitioner health, and/or other relevant policy. Matters that are not

satisfactorily resolved through initial mentoring efforts and progressive steps or through one of these policies shall be referred to the MEC for its review in accordance with Section 6.D below. Such interventions and evaluations, however, are not mandatory prerequisites to MEC review.

6.C. REQUEST TO REFRAIN FROM PRACTICING/PRECAUTIONARY SUSPENSION OR RESTRICTION OF CLINICAL PRIVILEGES

6.C.1. Grounds for Requests to Voluntarily Refrain from Practicing/Precautionary Suspension or Restriction:

- (a) Whenever, in their sole discretion, failure to take action may result in imminent danger to the health and/or safety of any individual, the MEC or the Medical Director: ASF
 - (1) request that the Practitioner agree to voluntarily refrain from exercising privileges pending further review of the circumstances by the Medical Director in accordance with Section 6.C.2 of this Policy (agreements to voluntarily refrain may also be utilized in other professional practice evaluation contexts, the details of which are addressed in the relevant professional practice evaluation policy); or
 - (2) if the Practitioner is unwilling to voluntarily refrain from practicing pending further review, to suspend or restrict all or any portion of the individual's clinical privileges as a precaution, which actions shall be reviewed by the MEC in accordance with Section 6.C.3 of this Policy.
- (b) The above actions can be taken at any time, including, but not limited to, immediately after the occurrence of an event that causes concern, following a pattern of occurrences that raises concern, or following a recommendation of the MEC that would entitle the individual to request a hearing.
- (c) Precautionary suspension or restriction, or an agreement to refrain, is an interim step in the professional review activity, but it is not a complete professional review action in and of itself. It shall not imply any final finding of responsibility for the situation that caused the suspension, restriction, or agreement.
- (d) These actions shall become effective immediately, shall promptly be reported to the Medical Director and shall remain in effect unless the action is modified by the Medical Director or MEC.
- (e) The Practitioner shall be provided a letter via Special Notice that memorializes the individual's agreement to voluntarily refrain from practicing or the imposition of a precautionary suspension and terms related to the same. The correspondence shall also contain 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), and shall be provided to the Practitioner within three days of the action.

6.C.2. The Medical Director Review Process for an Agreement to Voluntarily Refrain from Practicing:

- (a) The Medical Director shall review the matter resulting in a Practitioner's agreement to voluntarily refrain from exercising clinical privileges within a reasonable time under the circumstances, not to exceed 14 days. As part of this review, the Practitioner shall be given an opportunity to meet with the Medical Director. Neither the Medical Director nor the individual shall be accompanied by legal counsel at this meeting, and no recording (audio or video) or transcript of the meeting shall be permitted or made; however, minutes of the meeting shall be prepared.
- (b) After considering the matter resulting in an individual's agreement to voluntarily refrain and the individual's response, if any, the Medical Director shall determine the appropriate next steps, which may include, but not be limited to, commencing a focused review, referring the matter for review pursuant to another policy, referring the matter to the MEC with a recommendation to initiate a formal Investigation, or taking some other action that is deemed appropriate under the circumstances. The Medical Director shall also determine whether the agreement to voluntarily refrain from practicing should be continued throughout any further review process.
- (c) There is no right to a hearing based on an individual's agreement to voluntarily refrain from practicing in accordance with this Section.

6.C.3. MEC Review Process for Precautionary Suspensions or Restrictions:

- (a) The MEC shall review any matter resulting in a precautionary suspension or restriction within a reasonable time under the circumstances, not to exceed 14 days. As part of this review, the Practitioner shall be given an opportunity to meet with the MEC. The individual may propose ways other than precautionary suspension or restriction to protect patients and/or employees, depending on the circumstances. Neither the MEC nor the individual shall be accompanied by legal counsel at this meeting, and no recording (audio or video) or transcript of the meeting shall be permitted or made; however, minutes of the meeting shall be prepared.
- (b) After considering the matters resulting in the suspension or restriction and the individual's response, if any, the MEC shall determine the appropriate next steps, which may include, but not be limited to, commencing a focused review or a formal Investigation, referring the matter for review pursuant to another policy, or recommending some other action that is deemed appropriate under the circumstances. The MEC shall also determine whether the precautionary

suspension or restriction should be continued, modified, or terminated throughout any further review process (and hearing and appeal, if applicable).

- (c) There is no right to a hearing based on the imposition or continuation of a precautionary suspension or restriction.

6.C.4. Care of Patients:

- (a) Immediately upon an individual's agreement to voluntarily refrain from practicing or the imposition of a precautionary suspension or restriction, the Medical Director shall assign to another Practitioner with appropriate clinical privileges responsibility for care of the individual's ASF patients, or to otherwise aid in implementing the precautionary suspension, restriction, or agreement to refrain from practicing, as appropriate. The assignment shall be effective until the patients are discharged. The wishes of the patient shall be considered in the selection of a covering physician but may not always be accommodated.
- (b) All Practitioners have a duty to cooperate with the Medical Director or the MECASF in enforcing precautionary suspensions or restrictions or agreements to voluntarily refrain from practicing.

6.D. INVESTIGATIONS

6.D.1. Initial Review:

- (a) Where initial mentoring efforts or other progressive steps under one or more of the policies referenced in this Article have not resolved an issue and/or when there is a single instance of such severity that in the discretion of the Medical Director it requires further review, regarding:
 - (1) the clinical competence or clinical practice of any Practitioner, including the care, treatment or management of a patient or patients;
 - (2) the safety or proper care being provided to patients;
 - (3) the known or suspected violation by any Practitioner of applicable ethical standards or the Bylaws, Rules and Regulations, and policies of the ASF or the Medical Staff; and/or
 - (4) conduct by any Practitioner that is considered lower than the standards of the ASF or disruptive to the orderly operation of the ASF or its Medical Staff, including the inability of the Practitioner to work harmoniously with others, the matter may be referred to the Medical Director.

- (b) In addition, if the Board becomes aware of information that raises concerns about any Practitioner, the matter shall be referred to the Medical Director for review and appropriate action in accordance with this Policy.
- (c) The person to whom the matter is referred shall conduct or arrange for an inquiry to determine whether the question raised has sufficient credibility to warrant further review and, if so, shall forward it in writing to the MEC.
- (d) No action taken pursuant to this Section shall constitute an Investigation.

6.D.2. Initiation of Investigation:

- (a) When a question involving a Practitioner's clinical competence or professional conduct is referred to, or raised by, the MEC, the MEC shall review the matter and determine whether to conduct an Investigation, to direct the matter to be handled pursuant to another policy (e.g., peer review/professional practice evaluation policy, professionalism policy, Practitioner health policy), or to proceed in another manner. Prior to making its determination, the MEC may discuss the matter with the individual. An Investigation shall begin only after a formal determination by the MEC to do so. The MEC's determination shall be recorded in the minutes of the meeting where the determination is made.
- (b) The MEC shall inform the individual that an Investigation has begun. The notification shall include:
 - (1) the date on which the Investigation was commenced;
 - (2) the committee that will be conducting the Investigation, if already identified;
 - (3) a statement that the physician will be given the opportunity to meet with the committee conducting the Investigation before the Investigation concludes; and
 - (4) a copy of Section 6.D.3 of this Policy, which outlines the process for Investigations.

This notification may be delayed if, in the MEC's judgment, informing the individual immediately would compromise the Investigation or disrupt the operation of the ASF or Medical Staff.

6.D.3. Investigative Procedure:

- (a) Selection of Investigating Committee.

Once a determination has been made to begin an Investigation, the MEC shall either investigate the matter itself or appoint an ad hoc committee to conduct the Investigation, keeping in mind the conflict of interest guidelines outlined in Article 9 and **Appendix E**. Any ad hoc committee may include individuals not on the Medical Staff or affiliated as Advanced Practice Professionals or Licensed Independent Practitioners, and is a Peer Review Committee as defined in this Policy. Whenever the questions raised concern the clinical competence of the individual under review, the ad hoc committee shall include a peer of the individual (e.g., physician, dentist, podiatrist, oral surgeon, or relevant discipline of Advanced Practice Professional or Licensed Independent Practitioner).

(b) Investigating Committee's Review Process.

- (1) The committee conducting the Investigation ("investigating committee") shall have the authority to review relevant documents and interview individuals. A summary of each interview will be prepared and the interviewee will be asked to review, revise, and sign his or her summary, which will then be included as an attachment to the investigating committee's report.
- (2) The investigating committee shall also have available to it the full resources of the Medical Staff and the ASF, including the authority to arrange for an external review, if needed. An external review may be used whenever the ASF and investigating committee determine that:
 - (i) there are ambiguous or conflicting findings by internal reviewers;
 - (ii) the clinical expertise needed to conduct the review is not available on the Medical Staff;
 - (iii) an external review is advisable to prevent allegations of bias, even if unfounded; or
 - (iv) the thoroughness and objectivity of the Investigation would be aided by such an external review.

If a decision is made to obtain an external review, the individual under Investigation shall be notified of that decision and the nature of the external review. However, the individual under Investigation may not demand an external review or dictate who performs the external review. Upon completion of the external review, the individual shall be provided a copy of the reviewer's report and provided an opportunity to respond to it in writing.

- (3) The investigating committee may require a physical, mental, and/or behavioral examination of the individual by a health care professional(s)

acceptable to it. The individual being investigated shall execute a release (in a form approved or provided by the investigating committee) allowing (i) the investigating committee (or its representative) to discuss with the health care professional(s) conducting the examination the reasons for the examination; and (ii) the health care professional(s) conducting the examination to discuss and provide documentation of the results of such examination directly to the investigating committee. The cost of such health examination shall be borne by the individual.

(c) Meeting with the Investigating Committee.

- (1) The individual under Investigation shall have an opportunity to meet with the investigating committee before it makes its report. Prior to this meeting, the individual shall be informed of the general questions being investigated. The investigating committee may also ask the individual to provide written responses to specific questions related to the Investigation and/or a written explanation of his or her perspective on the events that led to the Investigation for review by the investigating committee prior to the meeting.
- (2) This meeting is not a hearing, and none of the procedural rules for hearings shall apply. No recording (audio or video) or transcript of the meeting shall be permitted or made. Neither the individual being investigated nor the investigating committee will be accompanied by legal counsel at this meeting.
- (3) At the meeting, the individual shall be invited to discuss, explain, or refute the questions that gave rise to the Investigation or that have been identified by the investigating committee during its review. A summary of the interview shall be prepared by the investigating committee and included with its report. The interview summary will be shared with the individual prior to the investigating committee finalizing its report, so that he or she may review it and recommend suggested changes. A suggested change should only be accepted if the investigating committee believes it more accurately reflects what occurred at the meeting.

(d) Time Frames for Investigation.

The investigating committee shall make a reasonable effort to complete the Investigation and issue its report within 30 days of the commencement of the Investigation, provided that an external review is not necessary. When an external review is necessary, the investigating committee shall make a reasonable effort to complete the Investigation and issue its report within 30 days of receiving the results of the external review. These time frames are intended to serve as guidelines and, as such, shall not be deemed to create any right for an individual to have an Investigation completed within such time periods.

(e) Investigating Committee's Report.

- (1) At the conclusion of the Investigation, the investigating committee shall prepare a report of the Investigation. The report should include a summary of the review process (e.g., a list of documents that were reviewed, any individuals who were interviewed, etc.), specific findings and conclusions regarding each concern that was under review, and the investigating committee's recommendations.
- (2) In making its recommendations, the investigating committee shall strive to achieve a consensus as to what is in the best interests of patient care and the smooth operation of the ASF, while balancing fairness to the individual, recognizing that fairness does not require that the individual agree with the recommendation. Specifically, the committee may consider:
 - (i) relevant literature and clinical practice guidelines, as appropriate;
 - (ii) all of the opinions and views that were expressed throughout the review, including report(s) from any external review(s);
 - (iii) any information or explanations provided by the individual under review; and
 - (iv) other information as deemed relevant, reasonable, and necessary by the investigating committee.

6.D.4. Recommendation:

- (a) The MEC may accept, modify, or reject any recommendation it receives from an ad hoc investigating committee if one was appointed by the MEC. In either case, at the conclusion of the Investigation, the MEC 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) impose a requirement for monitoring, proctoring, or consultation;
 - (5) impose a requirement for additional training or education;
 - (6) recommend reduction of clinical privileges;
 - (7) recommend suspension or Restriction of clinical privileges for a term;

- (8) recommend revocation of appointment and/or clinical privileges; or
 - (9) make any other recommendation that it deems necessary or appropriate.
- (b) If a recommendation by the MEC would entitle the individual to request a hearing in accordance with Section 7.A.1 or Section 8.F.2, as applicable, the recommendation will be forwarded to the ASF President, who shall promptly inform the individual by Special Notice. The Medical Director shall hold the recommendation until after the individual has completed or waived a hearing and appeal.
- (c) A determination by the MEC that does not entitle the individual to request a hearing will take effect immediately. All such determinations shall be reported to the Board and will remain in effect unless modified by the Board. In the event the Board considers a modification that would entitle the individual to request a hearing, the Medical Director shall inform the individual by Special Notice. No final action shall occur until the individual has completed or waived a hearing and appeal.
- (d) When applicable, any recommendations or actions that are the result of an Investigation or hearing and appeal shall be monitored by the Medical Director on an ongoing basis through the ASF's performance improvement activities or pursuant to the applicable policies regarding conduct, as appropriate.

6.E. AUTOMATIC RELINQUISHMENT/ACTIONS

6.E.1. General:

An automatic relinquishment is considered an administrative action that occurs by operation of this Policy. As such, it does not trigger an obligation on the part of the ASF to file a report with the National Practitioner Data Bank or the Pennsylvania licensure board and shall take effect without hearing or appeal. It takes effect without the right to the procedural rights outlined in this Policy (i.e., hearing and appeal). Any request for reinstatement of appointment and clinical privileges will be reviewed in accordance with the procedures outlined in this Section 6.E.

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

- (a) An individual's appointment and clinical privileges shall be automatically relinquished if the individual fails to continuously satisfy any of the threshold eligibility criteria set forth in Sections 2.A.1 and 5.A.1 of this Policy (except for board certification requirements, which shall be assessed at time of reappointment).
- (b) In addition to the above, an individual's appointment and clinical privileges shall be automatically relinquished if the individual is arrested, charged, indicted, or notified that s/he is under criminal investigation for any felony; or for any

misdemeanor involving (i) controlled substances, (ii) illegal drugs, (iii) Medicare, Medicaid, or insurance or health care fraud or abuse, (iv) child abuse, (v) elder abuse, (vi) violence against another, or (vii) the practitioner-patient relationship.

- (c) Automatic relinquishment shall take effect immediately upon actual or Special Notice to the individual and continue, unless a waiver of the threshold eligibility criteria is granted pursuant to Section 2.A.2, or until the matter is resolved and the individual is granted reinstatement, as may be applicable.
- (d) If the underlying matter leading to automatic relinquishment under this Section 6.E.2 is resolved within 60 days (i.e., the individual either demonstrates that he or she meets all applicable eligibility criteria or is granted a waiver regarding the eligibility criteria in question in accordance with Section 2.A.2), the individual may request reinstatement in accordance with Section 6.E.7. In addition, if an arrest, charge or indictment as defined above, a criminal investigation initiated during the term of appointment, or a state licensure board investigation initiated during a term of appointment has not been fully resolved within the 60 day time period, an individual may request reinstatement but bears the burden of demonstrating, in the full discretion of the Medical Director, that the underlying matter does not raise concerns about the individual's professional qualifications and/or ability to completely and safely exercise clinical privileges.
- (e) Failure to resolve any matter that results in an automatic relinquishment within 60 days of the date of relinquishment shall result in an automatic resignation of appointment and clinical privileges.

6.E.3. Failure to Provide Required Notification to Medical Staff Services:

- (a) Practitioners must notify Medical Staff Services, in writing, within 10 days of the occurrence of any of the following events:
 - (1) changes in the Practitioner's licensure status or DEA or state-controlled substance authorization;
 - (2) changes in the Practitioner's appointment or clinical privileges at another healthcare facility or health care facility because of issues related to clinical competence or professional conduct, including the Practitioner's resignation while under investigation;
 - (3) changes in the Practitioner's employment status at any medical group or healthcare facility because of issues related to clinical competence or professional conduct;
 - (4) the Practitioner's arrest, charge, indictment, conviction, or a plea of guilty or no contest in any criminal matter (other than a misdemeanor traffic citation);

- (5) the Practitioner's exclusion or preclusion from participation in Medicare/Medicaid or any sanctions imposed;
- (6) 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 that would be likely to remain in existence for more than 30 days;
- (7) the Practitioner's participation in a state practitioner health program; and
- (8) any charge of, or arrest for, driving under the influence ("DUI").

Failure of a Practitioner to provide this notification may result in the automatic relinquishment of appointment and clinical privileges.

- (b) When an automatic relinquishment occurs under this Section 6.E.3, the Practitioner will be given the opportunity to submit a written response for the Medical Director's consideration. The relinquishment shall remain in effect unless the Medical Director determines, in its sole discretion, that the Practitioner has provided a satisfactory explanation and has eliminated any concern regarding the failure to provide the required notification. If the Medical Director makes this determination, the Practitioner's appointment and clinical privileges will be reinstated upon the Medical Director's receipt of any additional information or documentation regarding the issue that may be requested by the Medical Director.
- (c) If the Medical Director determines that the Practitioner has failed to provide a satisfactory explanation and eliminate the concerns, the Practitioner's appointment and clinical privileges shall be automatically resigned.

6.E.4. Failure to Complete Medical Records:

Failure to complete medical records, after notification by the medical records department of delinquency, may result in automatic relinquishment of all clinical privileges in accordance with the time frames as set forth in the Medical Staff Rules and Regulations. Relinquishment shall continue until all delinquent records are completed and reinstatement accomplished in accordance with applicable policies and rules and regulations. Failure to complete the medical records that caused relinquishment within the time required by applicable policies and rules and regulations shall result in automatic resignation from the Medical Staff.

6.E.5. Failure to Provide Requested Information:

Failure to provide information pertaining to an individual's professional qualifications, clinical care, or professionalism, in response to a written request from the MEC, , the Peer Review Committee, the Medical Director or any other committee authorized to request

such information, shall result in the automatic relinquishment of all clinical privileges. The information must be provided within the time frame established by the requesting party. Any relinquishment will continue in effect until the information is provided to the satisfaction of the requesting party. If the requested information is not provided within 30 days of the date of relinquishment, it shall result in automatic resignation of appointment and clinical privileges.

6.E.6. Failure to Attend Special Meeting:

- (a) Whenever there is a concern regarding the clinical practice or professional conduct involving any Practitioner, the Medical Director may require the individual to attend a special meeting with the Medical Director, one or more members of the Administrative Leadership, and/or with a standing or ad hoc committee of the Medical Staff.
- (b) No legal counsel shall be present at this meeting, and no recording (audio or video) or transcript shall be permitted or made.
- (c) The notice to the individual regarding this meeting shall be given in writing at least five days prior to the meeting and shall inform the individual that attendance at the meeting is mandatory.
- (d) Failure of the individual to attend the meeting shall result in the automatic relinquishment of all clinical privileges until such time as the individual does attend the special meeting. If the individual does not attend the special meeting within 30 days of the date of relinquishment, it shall result in automatic resignation of appointment and clinical privileges.

6.E.7. Request for Reinstatement:

- (a) Requests for reinstatement following the expiration or lapse of a license, controlled substance authorization, and/or insurance coverage will be processed by Medical Staff Services. If any questions or concerns are noted, Medical Staff Services will refer the matter for further review in accordance with (e) below.
- (b) Requests for reinstatement for failure to notify Medical Staff Services of the events specified in Section 6.E.3 of this Policy will be managed in accordance with that Section.
- (c) Requests for reinstatement following the relinquishment of clinical privileges due to medical record delinquencies will be accomplished in accordance with applicable medical record policies and/or rules and regulations.
- (d) Requests for reinstatement following the relinquishment of clinical privileges due to failure to provide requested information and/or failure to attend a special meeting shall be reviewed by the Medical Director, or designees. If these two physician

leaders recommend favorably on reinstatement, the individual may immediately resume clinical practice. If, however, any questions or concerns are noted, the matter will be referred for further review in accordance with (e) below.

- (e) All other requests for reinstatement following a relinquishment of clinical privileges shall be reviewed by the Medical Director. If the Medical Director recommends favorably on reinstatement, the individual may immediately resume clinical practice at the ASF. If, however, the Medical Director has any questions or concerns, those questions shall be noted, and the reinstatement request shall be forwarded to the MEC and Board for review and recommendation.

6.F. LEAVES OF ABSENCE

6.F.1. Initiation:

- (a) A Practitioner may request a leave of absence by submitting a written request to Medical Staff Services. The request must state the beginning and ending dates of the leave, which shall not exceed one year, and the reasons for the leave.
- (b) The Medical Director shall determine whether a request for a leave of absence shall be granted. The granting of a leave of absence, or reinstatement, as appropriate, may be conditioned upon the individual's completion of all medical records.
- (c) Leaves for Health Issues. Except for maternity leaves, Practitioners must report to the Medical Director any time they are away from Medical Staff and/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 (whether by report of the Practitioner or otherwise), the Medical Director may trigger an automatic medical leave of absence at any point after becoming aware of the Practitioner's absence from patient care. The Practitioner will be sent Special Notice informing him or her that a leave of absence has been enacted.

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

During the leave of absence, the individual shall not exercise any clinical privileges. In addition, the individual shall be excused from all Medical Staff and clinical responsibilities (e.g., meeting attendance, committee service,) during this period.

6.F.3. Reinstatement:

- (a) Individuals requesting reinstatement shall submit a written summary of their professional activities during the leave, and any other information that may be requested by the ASF. Requests for reinstatement shall then be reviewed by the Medical Director. If the Medical Director recommends favorably on reinstatement, the Medical Staff member may immediately resume clinical practice at the ASF.

If, however, the Medical Director has any questions or concerns, those questions shall be noted and the reinstatement request shall be forwarded to the full MEC, and Board for review and recommendation. If a request for reinstatement is not granted for reasons related to clinical competence or professional conduct, the individual shall be entitled to request a hearing and appeal.

- (b) 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 physically and/or mentally capable of resuming his/her practice and safely exercising the clinical privileges requested and the individual must provide any additional information regarding his or her health status that may be requested through the reinstatement process such that the Medical Director is able to assess the individual's ability to safely and competently resume exercising clinical privileges.
- (c) With the exception of military leaves, absence for longer than one year shall result in automatic relinquishment of appointment and clinical privileges unless an extension is granted by the Medical Director. Extensions shall be considered only in extraordinary cases where the extension of a leave is in the best interest of the ASF.
- (d) If an individual's current appointment is due to expire during the leave, the individual must apply for reappointment, or appointment and clinical privileges shall lapse at the end of the appointment period.
- (e) Failure to request reinstatement from a leave of absence in a timely manner shall be deemed a voluntary resignation of appointment and clinical privileges.
- (f) 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 shall be final, with no recourse to a hearing and appeal.

6.G. ACTION AT ANOTHER WELLSPAN ENTITY

- (1) Each WellSpan Hospital and Ambulatory Surgical Facility (together, for purpose of this Section, referred to as "WellSpan Entities") will share information regarding the implementation or occurrence of any of the following actions with all other WellSpan Entity at which an individual maintains appointment, clinical privileges, or any other permission to care for patients:
 - (a) ***automatic relinquishment or resignation*** of appointment or clinical privileges for:
 - failure to meet any ***threshold eligibility criteria*** set forth in the Medical Staff Bylaws or Credentials Policy, or

- the individual is ***arrested, charged, indicted or identified as being subject to a criminal investigation*** for any felony; or for any misdemeanor involving (i) controlled substances, (ii) illegal drugs, (iii) Medicare, Medicaid, or insurance or health care fraud or abuse, (iv) child abuse, (v) elder abuse, (vi) violence against another, or (vii) the practitioner-patient relationship;
 - (b) ***voluntary agreement to modify clinical privileges or to refrain from exercising*** some or all clinical privileges for a period of time for reasons related to the individual's clinical competence, conduct, or health;
 - (c) any ***denial, suspension, revocation, or termination*** of appointment and/or clinical privileges;
 - (d) participation in a ***voluntary performance improvement plan*** under the relevant professional practice evaluation policy or professionalism policy;
 - (e) a grant of ***conditional appointment or clinical privileges*** (either at initial appointment or reappointment), or conditional continued appointment or clinical privileges; and/or
 - (f) any other event which, in the sole discretion of the WellSpan Entity making the notification, raises a ***significant concern about the Practitioner's clinical competence, professional conduct, health/ability to safely practice, or utilization practices*** in accordance with the Information Sharing Policy.
- (2) Upon receipt of notice that any of the actions set forth in Paragraph (1) have occurred at any WellSpan Entity, that action will either:
- (a) automatically and immediately take effect at the WellSpan Entity receiving the notice; or
 - (b) be cause for the WellSpan Entity receiving the notice to determine that the individual no longer satisfies the eligibility criteria set forth in this Policy and has therefore automatically relinquished his or her appointment and privileges.

The automatic effectiveness of any such action, or an automatic relinquishment based on such action, will not entitle the individual to any additional procedural rights (including advance notice, additional peer review, formal Investigation, hearing, or appeal) beyond what occurred at the WellSpan Entity taking the original action. All information that is shared pursuant to Paragraph (1) above will be reviewed by the Medical Director at the receiving WellSpan Entity to determine whether additional steps may be necessary.

- (3) The Board may waive the automatic effectiveness of an action or an automatic relinquishment at the receiving WellSpan Entity, following its review of the MEC's recommendation. However, the automatic effectiveness or relinquishment 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) based on a finding that the granting of a waiver will not affect patient safety, quality of care, or operations within the WellSpan Entity; and
 - (b) after a full review of the specific circumstances and any relevant documents (including peer review documents) from the WellSpan Entity where the action first occurred. The burden is on the affected Practitioner to provide evidence showing that a waiver is appropriate.

The denial of a waiver pursuant to this Section will not entitle the individual to any procedural rights, including advance notice, additional peer review, formal Investigation, hearing, or appeal.

ARTICLE 7

HEARING AND APPEAL PROCEDURES FOR MEDICAL STAFF MEMBERS

The hearing and appeal procedures in this Article are only applicable to Medical Staff members and are **not** applicable to Advanced Practice Professionals or Licensed Independent Practitioners. The due process rights for Advanced Practice Professionals and Licensed Independent Practitioners are set forth in Article 8 of this Policy.

7.A. INITIATION OF HEARING

7.A.1. Grounds for Hearing:

- (a) An individual is entitled to request a hearing whenever the MEC makes one of the following recommendations:
 - (1) denial of initial appointment to the Medical Staff;
 - (2) denial of reappointment to the Medical Staff;
 - (3) revocation of appointment to the Medical Staff;
 - (4) denial of requested clinical privileges, whether at the time of initial appointment, reappointment, or during the course of appointment;
 - (5) revocation of clinical privileges;
 - (6) suspension of clinical privileges for more than 30 days (other than precautionary suspension which entitles an individual to the procedures outlined in Section 6.C.3 of this Policy and which are deemed fair under the circumstances);
 - (7) a Restriction of clinical privileges for more than 30 days; or
 - (8) denial of reinstatement from a leave of absence if the reasons relate to clinical competence or professional conduct.
- (b) No other recommendations shall entitle the individual to a hearing.
- (c) If the Board makes any of these determinations without an adverse recommendation by the MEC, an individual would also be entitled to request a hearing. For ease of use, this Article refers to adverse recommendations of the MEC. When a hearing is triggered by an adverse recommendation of the Board, any reference in this Article to the “MEC” shall be interpreted as a reference to the “Board.”

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

None of the following actions shall constitute grounds for a hearing, and they shall take effect without hearing or appeal, provided that the individual shall be entitled to submit a written explanation to be placed into his or her file:

- (a) determination that an applicant for membership fails to meet the threshold eligibility qualifications or criteria for membership;
- (b) ineligibility to request membership or privileges, or to continue privileges, because a relevant specialty is closed under a Medical Staff development plan or is covered under an exclusive provider agreement;
- (c) determination that an applicant for clinical privileges fails to meet the eligibility criteria to hold the privilege;
- (d) determination that an application is incomplete or untimely;
- (e) determination that an application shall not be processed due to a misstatement or omission;
- (f) change in assigned staff category or a determination that an individual is not eligible for a specific staff category;
- (g) expiration of membership and privileges as a result of failure to submit an application for reappointment within the allowable time period;
- (h) issuance of an informational letter, educational letter, or any other letter of guidance, counsel, warning, or reprimand;
- (i) determination that conditions, monitoring, supervision, proctoring, or a general consultation requirement (i.e., the individual must obtain a consult but need not get prior approval for the treatment) is appropriate for an individual;
- (j) determination that a requirement for additional training or continuing education is appropriate for an individual;
- (k) the voluntary acceptance of a voluntary performance improvement plan;
- (l) any requirement to complete a health assessment, diagnostic testing, a complete physical, mental or behavioral evaluation, or a clinical competency evaluation pursuant to any Bylaws-related document;
- (m) conducting an Investigation into any matter or the appointment of an ad hoc investigating committee;

- (n) grant of conditional appointment or reappointment or of an appointment or reappointment period that is less than two years;
- (o) Restriction or suspension of clinical privileges for 30 days or less;
- (p) precautionary suspension;
- (q) automatic relinquishment of appointment or privileges or automatic resignation;
- (r) denial of a request for a leave of absence, for an extension of a leave or for reinstatement from a leave if the reasons do not relate to clinical competence or professional conduct;
- (s) removal from the on-call roster or any other reading panel;
- (t) withdrawal of temporary privileges;
- (u) requirement to appear for a special meeting;
- (v) termination of any contract with or employment by the ASF; and
- (w) any other action that is not specifically listed in Section 7.A.1(a).

7.B. THE HEARING

7.B.1. Notice of Recommendation:

The Medical Director shall promptly give Special Notice of a recommendation which entitles an individual to request a hearing. This notice shall 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.B.2. Request for Hearing:

An individual has 30 days following receipt of the notice to request a hearing. The request shall be in writing to the Medical Director and shall include the name, address, and telephone number of the individual's counsel, if any. Failure to request a hearing shall constitute waiver of the right to a hearing, and the recommendation shall be transmitted to the Board for final action.

7.B.3. Notice of Hearing and Statement of Reasons:

- (a) The Medical Director shall schedule the hearing and provide, by Special Notice to the individual requesting the hearing, the following:
 - (1) the time, place, and date of the hearing;
 - (2) a proposed list of witnesses who shall give testimony at the hearing and a brief summary of the anticipated testimony;
 - (3) the names of the Hearing Panel members (or Hearing Officer) and Presiding Officer, if known; and
 - (4) a statement of the specific reasons for the recommendation, including a list of patient records (if applicable), and a general description of the information supporting the recommendation. This statement does not bar presentation of additional evidence or information at the hearing, so long as the additional material is relevant to the recommendation or the individual's qualifications and the individual has a sufficient opportunity to review and rebut the additional information.
- (b) The hearing shall begin 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.B.4. Hearing Panel, Presiding Officer, and Hearing Officer:

(a) Hearing Panel:

The Medical Director shall appoint a Hearing Panel in accordance with the following guidelines:

- (1) The Hearing Panel shall consist of at least three members and may include any combination of:
 - (i) any member of the Medical Staff, provided the member has not actively participated in the matter at any previous level; and/or
 - (ii) physicians or laypersons not connected with the ASF (i.e., physicians not on the Medical Staff or laypersons not affiliated with the ASF).
- (2) Knowledge of the underlying peer review matter, in and of itself, shall not preclude the individual from serving on the Panel.
- (3) Employment by, or other contractual arrangement with, the ASF or an affiliate shall not preclude an individual from serving on the Panel.

- (4) The Panel shall not include any individual who is in direct economic competition with the individual requesting the hearing.
 - (5) The Panel will not include any individual who is professionally associated with, related to, or involved in a significant referral relationship with, the individual requesting the hearing.
 - (6) The Panel shall not include any individual who is demonstrated to have an actual bias, prejudice, or conflict of interest that would prevent the individual from fairly and impartially considering the matter.
 - (7) In addition, the appointment of the Hearing Panel shall comply with the guidelines set forth in the conflict of interest provisions found in Article 9 of this Policy and in **Appendix E**.
- (b) Presiding Officer:
- (1) The Medical Director shall appoint a Presiding Officer who shall be an attorney. The Presiding Officer may not be, or represent clients who are, in direct competition with the individual who requested the hearing and may not currently represent the ASF in any legal matters. The Presiding Officer shall not act as an advocate for either side at the hearing.
 - (2) The Presiding Officer shall:
 - (i) 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;
 - (ii) prohibit conduct or presentation of evidence that is cumulative, excessive, irrelevant or abusive or that causes undue delay;
 - (iii) maintain decorum throughout the hearing;
 - (iv) determine the order of procedure;
 - (v) rule on all matters of procedure and the admissibility of evidence; and
 - (vi) conduct argument by counsel on procedural points within or outside the presence of the Hearing Panel at the Presiding Officer's discretion.

- (3) The Presiding Officer may be advised by legal counsel to the ASF with regard to the hearing procedure.
- (4) The Presiding Officer may participate in the private deliberations of the Hearing Panel and be a legal advisor to it but shall not be entitled to vote on its recommendations.

(c) Hearing Officer:

- (1) As an alternative to a Hearing Panel, for matters limited to issues involving professional conduct, the Medical Director may appoint a Hearing Officer, preferably an attorney, to perform the functions of a Hearing Panel. The Hearing Officer may not be, or represent clients who are, 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” shall be deemed to refer to the Hearing Officer.

(d) Objections:

Any objection to any member of the Hearing Panel, to the Presiding Officer, or to the Hearing Officer, shall be made in writing, within 10 days of receipt of notice, to the Medical Director. A copy of such written objection must be provided to the President of the Medical Staff and must include the basis for the objection. The President of the Medical Staff shall be given a reasonable opportunity to comment. The Medical Director shall rule on the objection and give notice to the parties. The Medical Director may request that the Presiding Officer make a recommendation as to the validity of the objection.

(e) Compensation:

The Hearing Panel, Presiding Officer, and/or Hearing Officer may be compensated by the ASF, but the individual requesting the hearing may participate in any such compensation should the individual wish to do so.

7.B.5. Counsel:

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

7.C. PRE-HEARING PROCEDURES

7.C.1. General Procedures:

- (a) The pre-hearing and hearing processes shall be conducted in an informal manner. Formal rules of evidence or procedure shall not apply.
- (b) Neither party has the right to issue subpoenas or interrogatories or to depose witnesses or other individuals prior to the hearing or to otherwise compel any individual to participate in the hearing or pre-hearing process.
- (c) Neither the individual who has requested the hearing, nor any other person acting on behalf of the individual, may contact ASF employees or Medical Staff members whose names appear on the MEC's witness list or in documents provided pursuant to this Article concerning the subject matter of the hearing, until the ASF has been notified and has contacted the individuals about their willingness to be interviewed. The ASF will advise the individual who has requested the hearing once it has contacted such employees or Medical Staff members and confirmed their willingness to meet. Any employee or Medical Staff member may agree or decline to be interviewed by or on behalf of the individual who requested a hearing. If an employee or Medical Staff member who is on the MEC's witness list agrees to be interviewed pursuant to this provision, counsel for the MEC may be present during the interview.
- (d) The hearing shall last no more than 15 hours, with each side being afforded approximately seven and one-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 shall 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. Time Frames:

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

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

7.C.3. Witness List:

- (a) At least 10 days before the pre-hearing conference, the individual requesting the hearing shall provide a written list of the names of witnesses expected to offer testimony on his or her behalf.
- (b) The witness list shall 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.

7.C.4. Provision of Relevant Information:

- (a) Prior to receiving any confidential documents, the individual requesting the hearing must agree that all documents and information shall be maintained as confidential and shall 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 shall 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 MEC;
 - (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 MEC.

The provision of this information shall not waive any privilege under the Pennsylvania peer review protection statutes.

- (c) The individual shall have no right to discovery beyond the above information. No information shall be provided regarding other Practitioners on the Medical Staff.
- (d) At least 10 days prior to the pre-hearing conference (or as otherwise agreed upon by both sides), each party shall provide the other party with its proposed exhibits. All objections to documents or witnesses shall be submitted in writing at least five days in advance of the pre-hearing conference. The Presiding Officer shall not entertain subsequent objections unless the party offering the objection demonstrates good cause.

- (e) Evidence unrelated to the reasons for the recommendation or to the individual's qualifications for appointment or the relevant clinical privileges shall be excluded.

7.C.5. Pre-Hearing Conference:

The Presiding Officer shall require the individual and the MEC or their representatives (who may be counsel) to participate in a pre-hearing conference, which shall be held no later than 14 days prior to the hearing. At the pre-hearing conference, the Presiding Officer shall establish the time to be allotted to each witness's testimony and cross-examination and shall resolve all procedural questions, including any objections to exhibits, witnesses, or the time limitation for the hearing.

7.C.6. Stipulations:

The parties and their counsel, if applicable, shall use their best efforts to develop and agree upon stipulations, so as to provide for a more orderly and efficient hearing by narrowing the issues on which live testimony is reasonably required.

7.C.7. Provision of Information to the Hearing Panel:

The following documents shall 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) any stipulations agreed to by the parties.

7.D. HEARING PROCEDURES

7.D.1. Rights of Both Sides and the Hearing Panel at the Hearing:

- (a) At a hearing, both sides shall 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 on any matter relevant to the issues;
 - (4) to have representation by counsel who may call, examine, and cross-examine witnesses and present the case; and
 - (5) to submit proposed findings, conclusions and recommendations to the Hearing Panel as part of the Post-Hearing statement referenced in this Article, following the close of the hearing session(s).

- (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, and/or request documentary evidence.

7.D.2. Record of Hearing:

A stenographic reporter shall be present to make a record of the hearing. The cost of the reporter shall be borne by the ASF. Copies of the transcript shall be available at the individual's expense. Oral evidence shall be taken only on oath or affirmation administered by any person entitled to notarize documents in this state.

7.D.3. Failure to Appear:

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

7.D.4. Presence of Hearing Panel Members:

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

7.D.5. Persons to Be Present:

The hearing shall be restricted to those individuals involved in the proceeding, the President of the Medical Staff, the Medical Director, and the ASF President. In addition, administrative personnel may be present as requested by the Medical Director or the President of the Medical Staff.

7.D.6. Order of Presentation:

The MEC shall first present evidence in support of its recommendation. Thereafter, the burden shall shift to the individual who requested the hearing to present evidence.

7.D.7. Admissibility of Evidence:

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

7.D.8. Post-Hearing Statement:

Each party shall have the right to submit a written statement, and the Hearing Panel may request that statements be filed, following the close of the hearing.

7.D.9. Postponements and Extensions:

Postponements and extensions of time may be requested by anyone but shall be permitted only by the Presiding Officer or the Medical Director on a showing of good cause.

7.E. HEARING CONCLUSION, DELIBERATIONS, AND RECOMMENDATIONS

7.E.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 shall recommend in favor of the MEC 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.E.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 shall conduct its deliberations outside the presence of any other person except the Presiding Officer. Thereafter, the Hearing Panel shall render a recommendation, accompanied by a report, which shall contain a concise statement of the basis for its recommendation.

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

The Hearing Panel shall deliver its report to the Medical Director. The Medical Director shall send by Special Notice a copy of the report to the individual who requested the hearing. The Medical Director shall also provide a copy of the report to the MEC.

7.F. APPEAL PROCEDURE

7.F.1. Time for Appeal:

- (a) Within 10 days after notice of the Hearing Panel's recommendation, either party may request an appeal. The request shall be in writing, delivered to the Medical Director either in person or by certified mail, return receipt requested, and shall 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 10 days, an appeal is deemed to be waived and the Hearing Panel's report and recommendation shall be forwarded to the Board for final action.

7.F.2. Grounds for Appeal:

The grounds for appeal shall be limited to the following:

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

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

Whenever an appeal is requested as set forth in the preceding Sections, the Chair of the Board (or the ASF President on behalf of the Chair) shall schedule and arrange for an appeal. The individual shall be given Special Notice of the time, place, and date of the appeal. The appeal shall be held as soon as arrangements can reasonably be made, taking into account the schedules of all the individuals involved.

7.F.4. Nature of Appellate Review:

- (a) The Board may serve as the Review Panel or the Chair of the Board may appoint a Review Panel composed of not less than three persons, either members of the Board or others, including but not limited to reputable persons outside the ASF, to consider the record upon which the recommendation before it was made and recommend final action to the Board.
- (b) Each party shall have the right to present a written statement in support of its position on appeal. The party requesting the appeal shall submit a statement first and the other party shall 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.
- (c) 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. Such additional evidence shall be accepted only if the Review Panel determines that the party seeking to admit it has demonstrated that it is relevant, new evidence that could not have been presented at the hearing, or that any opportunity to admit it at the hearing was improperly denied.

7.G. BOARD ACTION

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

- (a) Within 30 days after the Board (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 and recommendation when no appeal has been requested, the Board shall consider the matter and take final action.
- (b) The Board may review any information that it deems relevant, including, but not limited to, the findings and recommendations of the MEC, Hearing Panel, and Review Panel (if applicable). The Board may adopt, modify, or reverse any recommendation that it receives or, in its discretion, refer the matter to any individual or committee for further review and recommendation, or make its own decision based upon the Board's ultimate legal authority for the operation of the ASF and the quality of care provided.
- (c) The Board shall render its final decision in writing, including specific reasons, and shall send Special Notice to the individual. A copy shall also be provided to the MEC for its information.

7.G.2. Further Review:

Except where the matter is referred by the Board for further action and recommendation by any individual or committee, the final decision of the Board shall be effective immediately and shall not be subject to further review. If the matter is referred for further action and recommendation, such recommendation shall be promptly made to the Board in accordance with the instructions given by the Board.

7.G.3. Right to One Hearing and One Appeal Only:

No member of the Medical Staff shall be entitled to more than one hearing and one appellate review on any matter.

ARTICLE 8

CONDITIONS OF PRACTICE AND DUE PROCESS RIGHTS FOR ADVANCED PRACTICE PROFESSIONALS AND LICENSED INDEPENDENT PRACTITIONERS

8.A. RIGHTS AND PREROGATIVES

- (1) Licensed Independent Practitioners (**Appendix A**) and Advanced Practice Professionals (**Appendix B**) shall not be appointed to the Medical Staff or entitled to the rights, privileges, and/or prerogatives of Medical Staff appointment. The rights and prerogatives of Advanced Practice Professionals and Licensed Independent Practitioners are as set forth in this Article. (Certain provisions that are applicable to Allied Health Professionals (**Appendix C**) are also contained in this Article.)
- (2) Advanced Practice Professionals and Licensed Independent Practitioners may attend meetings of the Medical Staff and of relevant clinical departments, without vote.
- (3) Advanced Practice Professionals and Licensed Independent Practitioners may be appointed to serve on Medical Staff committees, in the discretion of the President of the Medical Staff, with vote.

8.B. STANDARDS OF PRACTICE FOR THE UTILIZATION OF ADVANCED PRACTICE PROFESSIONALS IN THE INPATIENT SETTING

- (1) Advanced Practice Professionals are permitted to function in the ASF setting in collaboration with and under the supervision and oversight of the Supervising/Collaborating Physician. As a condition of being granted appointment, all Advanced Practice Professionals specifically agree to abide by the standards of practice set forth in this Section. In addition, as a condition of being permitted to utilize the services of Advanced Practice Professionals in the ASF, all Medical Staff members who serve as Supervising/Collaborating Physicians to such individuals also specifically agree to abide by the standards set forth in this Section.
- (2) The following standards of practice apply to the functioning of Advanced Practice Professionals (“APPs”) in the inpatient ASF setting:
 - (a) Exercise of Clinical Privileges.
 - (i) APPs: APPs may exercise those clinical privileges that have been granted to them pursuant to their approved delineation of clinical privileges. The delineation of privileges will specify the requisite

levels of supervision that apply to an APP's privileges (general, direct, or personal).

- (ii) Supervising/Collaborating Physicians: Supervising/Collaborating Physicians must be available by phone, email, or other modality to respond in a timely manner to the APP or to others caring for the patient. The Supervising/Collaborating Physicians are only required to be physically present with an APP when the APP's privileges require "personal" supervision.
- (iii) Supervising/Collaborating Physicians: Supervising/Collaborating physicians (or their covering physicians) must personally respond to all calls specifically directed to them in a timely manner, in accordance with the requirements set forth in this Policy.

Exceptions to the above Standards of Practice may be granted by the MEC for specific clinical situations and services, upon demonstration of good cause shown.

8.C. OVERSIGHT BY SUPERVISING/COLLABORATING PHYSICIAN

- (1) Any activities permitted to be performed at the ASF by an Advanced Practice Professional or Allied Health Professional shall be performed only in collaboration with or under the supervision or direction of a Supervising/Collaborating Physician.
- (2) Advanced Practice Professionals and Allied Health Professionals may function in the ASF only so long as (i) they are supervised by a Supervising/Collaborating Physician who is currently appointed to the Medical Staff, and (ii) they have a current, written supervision or collaboration agreement with the Supervising/Collaborating Physician. In addition, should the Medical Staff appointment or clinical privileges of the Supervising/Collaborating Physician be revoked or terminated, the clinical privileges of the Advanced Practice Professional or the scope of practice of the Allied Health Professional shall be automatically relinquished (unless the individual will be supervised by another Supervising/Collaborating Physician appointed to the Medical Staff).
- (3) As a condition of clinical privileges or a scope of practice, an Advanced Practice Professional or Allied Health Professional and the Supervising/Collaborating Physician must provide the ASF with a copy of any written supervision or collaboration agreement that may be required by the state as well as notice of any revisions or modifications that are made to any such agreements between them. This notice must be provided to Medical Staff Services within three days of any such change.

- (4) Except as set forth below, the Supervising/Collaborating Physician shall be notified of a concern related to clinical competence, performance, and/or professional conduct that involves any Advanced Practice Professional or Allied Health Professional with whom the physician has a supervisory or collaborative relationship. Notification to the Supervising/Collaborating Physician as described in this Section is not required, or may be delayed, if the the Medical Director conducting the review determine that notification would be inconsistent with a fair and effective review. Without limiting the foregoing, the Supervising/Collaborating Physician will be copied on all correspondence that an Advanced Practice Professional or Allied Health Professional receives from the The Medical Director and/or may be invited to participate in any meetings or interventions. The Supervising/Collaborating Physician shall maintain all such information in a confidential manner.

8.D. QUESTIONS REGARDING AUTHORITY OF AN ADVANCED PRACTICE PROFESSIONAL OR ALLIED HEALTH PROFESSIONAL

- (1) Should any Medical Staff member or ASF employee who is licensed or certified by the state have any question regarding the clinical competence or authority of an Advanced Practice Professional or Allied Health Professional, either to act or to issue instructions outside the physical presence of the Supervising/Collaborating Physician in a particular instance, the Medical Staff member or ASF employee shall have the right to require that the Advanced Practice Professional's or Allied Health Professional's Supervising/Collaborating Physician validate, either at the time or later, the instructions of the Advanced Practice Professional or Allied Health Professional. Any act or instruction of the Advanced Practice Professional or Allied Health Professional shall be delayed until such time as the staff member or ASF employee can be certain that the act is clearly within the scope of the Advanced Practice Professional's or Allied Health Professional's activities as permitted by the Board.
- (2) Any question regarding the clinical practice or professional conduct of an Advanced Practice Professional or Allied Health Professional shall be immediately reported to the Medical Director who shall address the matter in accordance with Article 6 of this Policy. The individual to whom the concern has been reported may also discuss the matter with the Supervising/Collaborating Physician.

8.E. RESPONSIBILITIES OF SUPERVISING/COLLABORATING PHYSICIAN

- (1) Physicians who wish to utilize the services of an Advanced Practice Professional or Allied Health Professional in their clinical practice at the ASF must notify Medical Staff Services of this fact in advance and must ensure that the individual has been appropriately credentialed in accordance with this Policy or with Human Resources policies and procedures before the Advanced Practice Professional or Allied Health Professional participates in any clinical or direct patient care of any kind in the ASF.

- (2) The Supervising/Collaborating Physician will remain responsible for all care provided by the Advanced Practice Professional or Allied Health Professional in the ASF.
- (3) Supervising/Collaborating Physicians who wish to utilize the services of an Advanced Practice Professional or Allied Health Professional in the inpatient setting specifically agree to abide by the standards of practice set forth in Section 8.B above.
- (4) The number of Advanced Practice Professionals or Allied Health Professionals acting under the supervision of one Supervising/Collaborating Physician, as well as the care they may provide, will be consistent with any applicable state statutes and regulations and any other policies adopted by the ASF. The Supervising/Collaborating Physician will make all appropriate filings with the relevant state board regarding the supervision and responsibilities of the Advanced Practice Professional or Allied Health Professional, to the extent that such filings are required, and shall provide a copy of the same to Medical Staff Services.

8.F. PROCEDURAL RIGHTS FOR ADVANCED PRACTICE PROFESSIONALS AND LICENSED INDEPENDENT PRACTITIONERS

8.F.1. General:

Advanced Practice Professionals and Licensed Independent Practitioners shall not be entitled to the hearing and appeals procedures set forth in Article 7 of this Policy. Rather, any and all procedural rights to which these Practitioners are entitled are set forth in this Article.

8.F.2. Grounds for Hearing and Notice of Rights:

- (a) Advanced Practice Professionals and Licensed Independent Practitioners are entitled to request a hearing whenever the MEC makes one of the following recommendations:
 - (1) denial of requested clinical privileges;
 - (2) revocation of clinical privileges;
 - (3) suspension of clinical privileges for more than 30 days (except for precautionary suspension which entitles an individual to the procedures outlined in Section 6.C.3 of this Policy, which are deemed fair under the circumstances); or
 - (4) a Restriction of clinical privileges for more than 30 days.

- (b) If the Board makes any of the above determinations without an adverse recommendation by the MEC, an Advanced Practice Professional or Licensed Independent Practitioner would also be entitled to request a hearing. In this instance, all references in this Article to the MEC will be interpreted as a reference to the Board.
- (c) The individual will receive Special Notice of the recommendation. The Special Notice will include a general statement of the reasons for the recommendation and will advise the individual that he or she may request a hearing.
- (d) If the Advanced Practice Professional or Licensed Independent Practitioner wants to request a hearing, the request must be in writing, directed to the Medical Director, within 30 days after receipt of written notice of the adverse recommendation.
- (e) The hearing will be convened as soon as is practical, but no sooner than 30 days after the notice of the hearing, unless an earlier hearing date has been specifically agreed to by the parties.
- (f) The individual shall have the right to receive copies of the documentation relied upon by the MEC; however, prior to receiving any confidential documents, the individual requesting the hearing must sign a confidentiality agreement under which the individual agrees that all documents and information shall be maintained as confidential and within the protected peer review process and shall 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 has executed Business Associate agreements in connection with any patient information contained in any documents provided.

8.F.3. Hearing Committee:

- (a) If a request for a hearing is made in a timely manner, the Medical Director shall appoint a Hearing Committee composed of up to three individuals (including, but not limited to, individuals appointed to the Medical Staff, Advanced Practice Professionals, Licensed Independent Practitioners, individuals not connected to the ASF, or any combination of these individuals) and a Presiding Officer, who may be legal counsel to the ASF. The Hearing Committee shall not include anyone who previously participated in the recommendation, any relatives or practice partners of the Practitioner requesting the hearing, or any competitors of the affected individual.
- (b) The Medical Director will appoint a Presiding Officer (“Presiding Officer”), who will be an attorney and may be legal counsel to the ASF. The role of the Presiding Officer will be to 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. The Presiding Officer will maintain decorum throughout the hearing.

- (c) As an alternative to the Hearing Committee described in paragraph (a) of this Section, the Medical Director may instead appoint a Hearing Officer to perform the functions that would otherwise be carried out by the Hearing Committee. The Hearing Officer shall preferably be an attorney at law. The Hearing Officer may not be in direct economic competition with the individual requesting the hearing and shall not act as a prosecuting officer or as an advocate to either side at the hearing. If the Hearing Officer is an attorney, he or she shall not represent clients who are in direct economic competition with the affected individual. In the event a Hearing Officer is appointed instead of a Hearing Committee, all references in this Article to the Hearing Committee shall be deemed to refer instead to the Hearing Officer, unless the context would clearly otherwise require.
- (d) The hearing shall be convened as soon as is practical, but no sooner than 30 days after the notice of the hearing, unless an earlier hearing date has been specifically agreed to by the parties.

8.F.4. Hearing Process:

- (a) A record of the hearing will be maintained by a stenographic reporter or by a recording of the proceedings. Copies of the transcript will be available at the individual's expense.
- (b) The hearing will last no more than six hours, with each side being afforded approximately three hours to present its case, in terms of both direct and cross-examination of witnesses.
- (c) At the hearing, a representative of the MEC will first present the reasons for the recommendation. The Practitioner requesting the hearing will be invited to present information to refute the reasons for the recommendation.
- (d) Both parties will have the right to present witnesses. The Presiding Officer will permit reasonable questioning of such witnesses.
- (e) The Practitioner requesting the hearing and the MEC may be accompanied at the hearing by legal counsel. However, while counsel may be present at the hearing, counsel will not call, examine, or cross-examine witnesses or present the case.
- (f) The Practitioner requesting the hearing will have the burden of demonstrating, by clear and convincing evidence, that the recommendation of the MEC was arbitrary, capricious, or not supported by substantial evidence. The quality of care provided to patients and the smooth operation of the ASF will be the paramount considerations.
- (g) The Practitioner requesting the hearing and the MEC will have the right to prepare a post-hearing memorandum for consideration by the Hearing Committee. The

Presiding Officer will establish a reasonable schedule for the submission of such memoranda.

8.F.5. Hearing Committee Report:

- (a) Within 20 days after the conclusion of the proceeding or submission of the post-hearing memoranda, whichever date is later, the Hearing Committee will prepare a written report and recommendation. The Hearing Committee will forward the report and recommendation, along with all supporting information, to the Medical Director. The Medical Director will send a copy of the written report and recommendation by Special Notice to the Practitioner who requested the hearing and to the MEC.
- (b) Within ten days after notice of such recommendation, the Practitioner who requested the hearing and/or the MEC may make a written request for an appeal. The request must include a statement of the reasons, including specific facts, which justify an appeal.
- (c) The grounds for appeal will be limited to an assertion that there was substantial failure to comply with this Policy during the hearing, so as to deny a fair hearing, and/or that the recommendation of the Hearing Committee was arbitrary, capricious, or not supported by substantial evidence.
- (d) The request for an appeal will be delivered to the Medical Director by Special Notice.
- (e) If a written request for appeal is not submitted timely, the appeal is deemed to be waived and the recommendation and supporting information will be forwarded to the Board for final action. If a timely request for appeal is submitted, the Medical Director will forward the report and recommendation, the supporting information and the request for appeal to the Board. The Chair of the Board will arrange for an appeal.

8.F.6. Appellate Review:

- (a) An Appellate Review Committee appointed by the Chair of the Board will consider the record upon which the adverse recommendation was made. The Board may serve as the Appellate Review Committee or the Chair of the Board may appoint an Appellate Review Committee composed of not less than three persons, either members of the Board or others, including but not limited to reputable persons outside the ASF.
- (b) New or additional written information that is relevant and could not have been made available to the Hearing Committee may be considered at the discretion of the Appellate Review Committee. This review will be conducted within 30 days after receiving the request for appeal.

- (c) The Practitioner and the MEC will each have the right to present a written statement on appeal.
- (d) At the sole discretion of the Appellate Review Committee, the Practitioner and a representative of the MEC may also appear personally to discuss their position.
- (e) Upon completion of the review, the Appellate Review Committee will provide a report and recommendation to the full Board for action. The Board will then make its final decision based upon the Board's ultimate legal responsibility to grant privileges and to authorize the performance of clinical activities at the ASF.
- (f) The Practitioner will receive Special Notice of the Board's action. A copy of the Board's final action will also be sent to the MEC for information.

8.G. DETERMINATION OF NEED

- (1) Whenever a Licensed Independent Practitioner, Advanced Practice Professional, or Allied Health Professional in a category that has not been approved by the Board requests permission to practice at the ASF, the Board shall refer the matter to the MEC or appoint an ad hoc committee to evaluate the need for that particular category of practitioner and to make a recommendation for its review and recommendation and then to the Board for final action.
- (2) As part of the process of determining need, the individual shall be invited to submit information about the nature of the proposed practice, why ASF access is sought, and the potential benefits to the community by having such services available at the ASF.
- (3) The MEC or ad hoc committee may consider the following factors when making a recommendation to the Board as to the need for the services of this category of Licensed Independent Practitioners, Advanced Practice Professionals, or Allied Health Professionals:
 - (a) the nature of the services that would be offered;
 - (b) any state license or regulation which outlines the scope of practice that the type of practitioner is authorized by law to perform;
 - (c) any state "non-discrimination" or "any willing provider" laws that would apply to the type of practitioner;
 - (d) the business and patient care objectives of the ASF, including patient convenience;

- (e) the community's needs and whether those needs are currently being met or could be better met if the services offered by the relevant type of practitioner were provided at the ASF;
- (f) the type of training that is necessary to perform the services that would be offered and whether there are individuals with more training currently providing those services;
- (g) the availability of supplies, equipment, and other necessary ASF resources;
- (h) the need for, and availability of, trained staff to support the services that would be offered; and
- (i) the ability to appropriately supervise performance and monitor quality of care.

8.H. DEVELOPMENT OF POLICY

- (1) If the MEC ad hoc committee determines that there is a need for the relevant category of practitioner at the ASF, the committee shall recommend to the Board a separate policy for the pertinent type of practitioner that addresses:
 - (a) any specific qualifications and/or training that they must possess beyond those set forth in this Policy;
 - (b) a detailed description of their authorized scope of practice or clinical privileges;
 - (c) any specific conditions that apply to their functioning within the ASF beyond those set forth in this Policy; and
 - (d) any supervision requirements, if applicable.
- (2) In developing such policies, the MEC or ad hoc committee shall consult the appropriate department chair(s) and consider relevant state law and may contact applicable professional societies or associations. The committee may also recommend to the Board the number of Licensed Independent Practitioners, Advanced Practice Professionals, or Allied Health Professionals that are needed in a particular category.

ARTICLE 9

CONFLICT OF INTEREST GUIDELINES FOR PEER REVIEW ACTIVITIES

9.A.1. General Principles:

- (a) All those involved in Peer Review activities (referred to collectively as “Medical Staff Functions” in this Article) must be sensitive to potential conflicts of interest (“COI”) 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 processes.
- (b) It is also essential that peers participate in Medical Staff Functions 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) A potential conflict of interest depends on the situation and not on the character of the individual. To promote this understanding, any individual with a potential conflict of interest shall be referred to as an “Interested Member.”
- (d) No Medical Staff member, Advanced Practice Professional, or Licensed Independent Practitioner has a right to compel the disqualification of another Practitioner based on an allegation of conflict of interest. Rather, that determination is within the discretion of the the Medical Director or Board chair, guided by this Article.
- (e) The fact that any individual chooses to refrain from participation, or is excused from participation, in any Medical Staff Function shall not be interpreted as a finding of an actual conflict that inappropriately influenced the review process.
- (f) **Appendix E** to this Policy is a chart that outlines the conflict of interest guidelines that are applicable to Medical Staff Functions at the ASF. The remainder of this Article is intended to supplement **Appendix E** and expand upon the guidelines that are summarized in the chart.

9.A.2. Process for Identifying Conflicts of Interest:

- (a) Self-Disclosure. Any individual involved in Medical Staff Functions must disclose all personal conflicts of interest relevant to those activities to the committee chair or Medical Director.
- (b) Identification by Others. Any individual who is concerned about a potential conflict of interest on the part of any other individual who is involved in Medical Staff Functions should inform the committee chair or Medical Director.

- (c) Identification by Individual under Review. An individual who is the subject of review during any Medical Staff Functions is obligated to notify the committee chair or Medical Director of any known or suspected conflicts of interest by others who are involved in such activities. Any potential conflict of interest that is not raised timely by the individual under review shall be deemed waived.

9.A.3. Implementation of Conflict of Interest Guidelines in **Appendix E**:

This section describes how to implement the Conflict of Interest Guidelines found in **Appendix E** of this Policy:

- Paragraph (a) identifies the three COI situations that require special treatment and rules during the performance of Medical Staff Functions, irrespective of the Interested Member's level of participation in the process (e.g., individual reviewer, Peer Review Committee member, MEC member);
 - Paragraph (b) describes the other common situations that raise COI issues during the performance of Medical Staff Functions; and
 - Paragraph (c) describes how to apply the guidelines in **Appendix E** to the common COI situations outlined in (b) at each level of the review processes.
- (a) Three COI Situations that Require Special Treatment and Rules, Irrespective of an Interested Member's Level of Participation:
- (1) Employment or Contractual Arrangement with the ASF. Because Medical Staff Functions are performed on behalf of the ASF, the interests of those who are employed by, or under contract with, the ASF are aligned with the ASF's interest in seeing that those activities are performed effectively, efficiently, and lawfully. As such, employment by, or other contractual arrangement with, the ASF or any of its affiliated entities does not, in and of itself, preclude an Interested Member from participating in Medical Staff Functions.
 - (2) Self or Family Member. While Interested Members may provide information to other individuals involved in the review process, an Interested Member should not otherwise participate in the review of his or her own application or the professional practice evaluation of the care he or she provided or in any such activities involving an immediate family member (spouse or domestic partner, parent, child, sibling, or in-law).
 - (3) Relevant Treatment Relationship. As a general rule, an Interested Member who has provided professional health services to a Practitioner whose application or provision of care is under review should not participate in the review process regarding the Practitioner. However, if the patient-

physician relationship has terminated and the review process does not involve the health condition for which the Practitioner sought professional health services, the Interested Member may participate fully in all Medical Staff Functions.

Furthermore, even if a current patient-physician relationship exists, the Interested Member may provide information to others involved in the review process if:

- (i) the information was not obtained through the treatment relationship, or
- (ii) the information was obtained through the treatment relationship, but the disclosure was authorized by the Practitioner under review through the execution of a HIPAA-compliant authorization form.

(b) Other Common Situations That Raise COI Issues During the Performance of Medical Staff Functions:

Participation by any Interested Member who is in one of the following situations – as it relates to the Practitioner under review – will be evaluated under the guidelines outlined in Paragraph (c) and **Appendix E**:

- (1) Significant Financial Relationship (e.g., when the Interested Member and other Practitioners: are members of a small, single specialty group; maintain a significant referral relationship; are partners in a business venture; or are individuals practicing in a specialty for which a policy matter – such as clinical privileging criteria – is being considered);
- (2) Direct Competitor (e.g., Practitioners in the same specialty, but in different groups);
- (3) Close Friendships;
- (4) History of Personal Conflict (e.g., former partner, ex-spouse, or where there has been demonstrated animosity);
- (5) Personal Involvement in the Care That Is Subject to Review (e.g., where the Interested Member provided care in the case under review, but is not the subject of the review);
- (6) Active Involvement in Certain Prior Interventions with the Individual under Review (e.g., where the Interested Member was involved in the development of a prior Voluntary Enhancement Plan or in a disciplinary action involving the individual under review. This situation does not include participation in initial education or collegial counseling efforts (e.g.,

sending an Educational Letter; meeting collegially with a colleague and sending a follow-up letter)); and/or

- (7) Formally Raised the Concern about Another Individual (e.g., where the Interested Member's concern triggered the review of another Practitioner, as evidenced by the Interested Member's written report regarding the concern (i.e., sent a written concern to the Medical Director, or filed a report through the ASF's electronic reporting system)).

(c) Application of the Guidelines in **Appendix E** to the Performance of Medical Staff Functions:

(1) Peer Review Committee Members

As a general rule, an Interested Member may fully participate as a member of the Peer Review Committee because the committee does not possess any disciplinary authority and do not make any final recommendation that could adversely affect the appointment or clinical privileges of a Practitioner, which is only within the authority of the MEC and Board.

However, the chair of this committee always has the discretion to recuse an Interested Member if they determine that the Interested Member's presence or participation would inhibit full and fair discussion of the issue, would skew the recommendation or determination of the committee, or would otherwise be unfair to the Practitioner under review.

(2) Medical Executive Committee

As a general rule, an Interested Member may fully participate as a member of the MEC when it is approving routine and favorable recommendations regarding the granting of initial appointment, reappointments, and clinical privileges.

However, an Interested Member should be recused from the MEC when that committee is considering a matter that could result in an adverse professional review action affecting the appointment or clinical privileges of a Practitioner. The Interested Member's participation in MEC meetings will be governed by the guidelines regarding recusal that are set forth in **Appendix E**.

(3) Investigating Committees

Once a formal Investigation has been initiated by the MEC, additional steps to manage conflicts of interest should be taken as a precaution. Therefore, an Interested Member should not be appointed as a member of an investigating committee and should not participate in the committee's

deliberations or decision-making, but may be interviewed and provide information if necessary for the committee to conduct a full and thorough Investigation.

(4) Hearing Panel

An Interested Member should not be appointed as a member of a Hearing Panel and should not participate in the Panel's deliberations or decision-making.

(5) Board

As a general rule, an Interested Member may fully participate as a member of the Board when it is approving routine and favorable recommendations regarding the granting of initial appointment, reappointments, and clinical privileges.

However, an Interested Member should be recused from the Board when the Board is considering action that will adversely affect appointment or clinical privileges of a Practitioner. The Interested Member's participation in Board meetings will be governed by the guidelines regarding recusal that are set forth in **Appendix E**.

ARTICLE 10

CONFIDENTIALITY AND PEER REVIEW PROTECTIONS

10.A. CONFIDENTIALITY

All Peer Review activity defined in this Policy and recommendations made shall be strictly confidential. Individuals participating in, or subject to, Peer Review activities shall make no disclosures of any such information (discussions or documentation) outside of committee meetings, except:

- (1) when the disclosures are to another authorized Practitioner or authorized ASF employee and are for the purpose of researching, investigating, or otherwise conducting legitimate Peer Review/professional practice evaluation activities;
- (2) when the disclosures are authorized by a Medical Staff or ASF policy; or
- (3) when the disclosures are authorized, in writing, by the Medical Director, ASF President, or legal counsel to the ASF.

Any breach of confidentiality may result in a professional review action and/or appropriate legal action. Such breaches are unauthorized and do not waive the peer review privilege. Any Practitioner who becomes aware of a breach of confidentiality must immediately inform the ASF Medical Director.

10.B. PEER REVIEW PROTECTION

- (1) All Peer Review activity pursuant to this Policy and related Medical Staff documents shall be performed by “review organizations” or “peer review committees” in accordance with the Pennsylvania Peer Review Protection Act, 63 P.S. §425.1 *et seq.* and the ASF’s peer review policies and procedures. Peer review committees are defined in Article 1 of this Policy. All oral or written communications, reports, recommendations, actions, and minutes made or taken by such committees are confidential and covered by the provisions of the Pennsylvania Peer Review Protection Act, 63 P.S. §425.1 *et seq.* and/or the corresponding provisions of any subsequent federal or state statute providing protection to peer review or related activities, including, where applicable, the federal Patient Safety and Quality Improvement Act with respect to any patient safety organization with which WellSpan and/or the ASF has a contract.
- (2) All Peer Review Committees shall also be deemed to be “professional review bodies” as that term is defined in the Health Care Quality Improvement Act of 1986, 42 U.S.C. §1101 *et seq.*

ARTICLE 11

ASF EMPLOYEES

- (a) Except as provided below, the employment of an individual by the ASF or one of its affiliates 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) Except as noted in (a) above, ASF-employed members are bound by all of the same conditions and requirements in this Policy that apply to non-ASF employed-members.
 - (c) A request for appointment, reappointment, clinical privileges, or scope of practice, submitted by an applicant or member who is employed by the ASF or one of its affiliates, will be processed in accordance with the terms of this Policy. A report regarding each practitioner's qualifications will be made to appropriate ASF Administrative personnel, as appropriate under applicable Medical Staff and ASF policies, to assist with employment decisions.
 - (d) 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 ASF administrative personnel (as appropriate). However, nothing herein will require the individual's employer to follow this Policy.
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ARTICLE 12

AMENDMENTS

This Policy may be amended by the process outlined in Article 9 of the Medical Staff Bylaws.

ARTICLE 13

ADOPTION

This Policy is adopted and made effective upon approval of the Board, superseding and replacing any and all other Bylaws, Rules and Regulations of the Medical Staff or ASF policies pertaining to the subject matter thereof.

Medical Staff: May 8th, 2025

Board of Directors: May 8th, 2025

APPENDIX A

Those individuals currently practicing as Licensed Independent Practitioners at the ASF are as follows:

Fellows

APPENDIX B

Those individuals currently practicing as Advanced Practice Professionals at the ASF are as follows:

Certified Physician Assistant (“PA-C”)

Certified Registered Nurse Anesthetist (“CRNA”)

Certified Registered Nurse Practitioner (“CRNP”)

APPENDIX C

Those individuals currently practicing as Allied Health Professionals at the ASF are as follows:

Registered Nurse – First Assistant

Certified Surgical Technician

APPENDIX D

DETERMINATION OF CLASS I OR CLASS II APPLICATIONS

Class I Applications:

An application for appointment, reappointment, and/or for clinical privileges may be classified as Class I if all of the following are true:

- (1) No pending malpractice litigation. The applicant does not now and has not had any professional liability claim or lawsuit made against the applicant during the relevant time period.
- (2) No malpractice judgments. No professional liability monetary settlement, judgment, or award has been paid by or on behalf of the applicant during the relevant time period.
- (3) Support of references. Each reference provided gives unqualified support for the applicant. Any references that contain a “fair” or “poor” response on a 5-level scale will be classified as a Class II application.
- (4) No terminations from employment. The applicant has not been terminated from employment related to the applicant’s current profession.
- (5) Criminal history. The applicant has not been charged with or indicted for any felony; or any misdemeanor involving dishonesty, deceit, fraud, violence, sexual misconduct, or drugs or alcohol during the relevant time period.
- (6) No Focused Professional Practice Evaluation (FPPE) or similar evaluation for cause. The applicant has not been the subject of FPPE, a focused review, or similar evaluation for cause during the relevant time period.
- (7) Waiver Request Not Necessary. The applicant is not requesting a waiver of any threshold eligibility criteria for Appointment, Reappointment, or Clinical Privileges as set forth in Sections 2.A.1, 5.A.1, or 4.A.1 of this Policy, or an exemption from any qualification or obligation pertinent to the requested Medical Staff category in Article 2 of the Medical Staff Bylaws.

Class II Applications:

Any application that does not meet the criteria for Class I shall be designated as a Class II application. No applicant has the right to demand that their application be processed as a Class I application, and such classification does not entitle an applicant to request a hearing under Article 7 or 8 of this Policy, as pertinent.

APPENDIX E

CONFLICT OF INTEREST GUIDELINES

Potential Conflicts	Levels of Participation								
	Provide Information		Committee Member					Hearing Panel	Board
					PRC	MEC	Investigating Committee		
Employment/contract relationship with ASF	Y				Y	Y	Y	Y	Y
Self or family member	Y				R	R	N	N	R
Relevant treatment relationship*	Y				R	R	N	N	R
Significant financial relationship	Y				Y	R	N	N	R
Direct competitor	Y				Y	R	N	N	R
Close friends	Y				Y	R	N	N	R
History of conflict	Y				Y	R	N	N	R
Provided care in case under review (but not subject of review)	Y				Y	R	N	N	R
Involvement in prior VEP or disciplinary action	Y				Y	R	N	N	R
Formally raised the concern	Y				Y	R	N	N	R

Y – (“Yes”) means the Interested Member may serve in the indicated role; no extra precautions are necessary.

Y – (“Yes, with infrequent but occasional limitations”) means the Interested Member may generally serve in the indicated role. It is legally permissible for Interested Members to serve in these roles because of the check and balance provided by the multiple levels of review and the fact that the Peer Review Committee have no disciplinary authority.

In addition, the Chair of the Peer Review Committee always has the authority and discretion to recuse a member in a particular situation if the Chair determines that the Interested Member’s presence would (i) inhibit the full and fair discussion of the issue before the committee, (ii) skew the recommendation or determination of the committee, or (iii) otherwise be unfair to the Practitioner under review.

N – (“No”) means the Interested Member should not serve in the indicated role.

R – (“Recuse”) means the Interested Member should be recused, in accordance with the guidelines on the next page.

* Special rules apply both to the provision of information and participation in the review process in this situation. See Section 9.A.3 of this Policy.

RULES FOR RECUSAL	
STEP 1 Confirm the conflict of interest	The Medical Director or Board Chair should confirm the existence of a conflict of interest relevant to the matter under consideration.
STEP 2 Participation by the Interested Member at the meeting	The Interested Member may participate in any part of the meeting that does not involve the conflict of interest situation. When the matter implicating the conflict of interest is ready for consideration, the Medical Director or Board Chair will note that the Interested Member will be excused from the meeting prior to the group’s deliberation and decision-making. Prior to being excused, the Interested Member may provide information and answer any questions regarding the following: (i) any factual information for which the Interested Member is the original source; (ii) clinical expertise that is relevant to the matter under consideration; (iii) any policies or procedures that are applicable to the committee or Board or are relevant to the matter under consideration; (iv) the Interested Member’s prior involvement in the review of the matter at hand (for example, an Investigating Committee member may describe the Investigating Committee’s activities and present the Investigating Committee’s written report and recommendations to the MEC prior to being excused from the meeting); and (v) how the committee or Board has, in the past, managed issues similar or identical to the matter under consideration.
STEP 3 The Interested Member is excused from the meeting	The Interested Member will then be excused from the meeting (i.e., physically leave the meeting room and/or disconnect from any telephone or other electronic connection) prior to the committee’s or Board’s deliberation and decision-making.
STEP 4 Record the recusal in the minutes	The recusal should be documented in the minutes of the committee or Board. The minutes should reflect the fact that the Interested Member was excused from the meeting prior to deliberation and decision-making. As set forth in the Medical Staff Bylaws, once a quorum has been established, the business of the meeting may continue and actions taken will be binding regardless of whether any subsequent recusal of members causes the number of individuals present at the meeting to fall below the number required for a quorum.