


# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Time Reporting Lateness, Absence, Missed Punches</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-6</b>
	<b>PAGES: 1 of 3</b>
	<b>DATE ISSUED: 9/1/70</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of the Medical Center to: (a) accurately record the time worked by Associates through the use of manual, electronic, or biometric record keeping systems (referred to as “clocking in”), (b) require overtime-eligible Associates to clock in and out promptly at the start and end of their shifts; (c) accurately record the instances when Associates are absent, late, or leave early; and (d) where permitted by law, policy or collective bargaining agreement, to deduct periods of absence from an Associates’ pay.

## POLICY APPLICABLE TO:

All Associates, (including, but not limited to, employed physicians, attending physicians, house staff, students) and vendors, independent contractors, and volunteers.

## PROCEDURE:


### I. Lateness/Absence.

- a. An Associate is considered late when they:
  - i. Fails to arrive at their assigned work location ready to start work at the scheduled start of their shift.
  - ii. Fails to return to their assigned work location ready to start work on time after a meal or rest period.
- b. Unless authorized in advance by a Supervisor, leaving an assigned work location before the end of a scheduled shift will be treated as an unauthorized absence.
- c. To avoid discipline, Associates who anticipate the need to leave work for any part of a scheduled work shift should attempt to arrange for the use of personal, holiday, vacation or Choice time. Staffing requirements and the individual Associate’s attendance record will prevail in determining whether such time can be granted.

### II. Recording of Time Worked By Overtime-Eligible Associates

- a. All Associates are responsible for providing valid time information. Submitting false or invalid time information will be grounds for termination.
- b. Overtime-eligible Associates are required to clock in and out at the time they are scheduled to start and stop work. Failure to clock in and out at the beginning or end of a shift may result in progressive discipline.

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- c. Overtime-eligible Associates should not perform any work unless they are clocked in. Under no circumstances should Associates continue working after clocking out at the end of their shift.
- d. Absent authorization, in accordance with HR Policy IV-5, Overtime, overtime-eligible Associates should not perform any work before or after their scheduled shift.
- e. Overtime-eligible Associates should not clock in prior to the start of their shift, or after the end of their scheduled shift unless authorized to do so. Overtime-eligible Associates are given a 15-minute window of time for clocking in and out before and after the start and end of a shift. If an Associate clocks in 15 minutes (or less) before or after the scheduled start of their shift, the Associate's time will be rounded to the scheduled start time of the shift. If an Associate clocks in 15 minutes (or less) before or after the scheduled end of their shift, the Associate's time will be rounded to the scheduled end time of the shift. In both cases, the Associate will be paid as if they arrived to work or left work on time.
- f. However, overtime-eligible Associates clocking in five minutes or more after the start of their shift will be marked as late and subject to discipline. Associates clocking out five minutes or more before the end of their shift will be marked as leaving early and subject to discipline.
- g. An Associate's Supervisor also has discretion in determining whether an Associate is late to work or leaves early. This means an Associate can be disciplined for arriving late/leaving early for less than five minutes if it is a recurring practice of the Associate to arrive late and or leave early.

### III. Missed Punches By Overtime-Eligible Associates

- a. Failure to clock in and out will be treated as a "missed punch."
- b. Progressive discipline may occur if:
  - An Associate misses two punches in a one (1) month period.
  - An Associate misses three punches in a three (3) month period.
  - If in addition to missing a punch, the Associate is late or leaves early from work, the Associate may also be disciplined in accordance with HR Policy III-14.
  - If in addition to missing a punch, the Associate stops working without authorization before the end of their shift, they may be disciplined for an unauthorized absence.
  - An Associate must be paid for all time worked, even on days where they failed to clock in to and or out of work.


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- There shall not be any automatic docking of pay for missed punches.
  - Deductions from pay for missed punches can only be made if it is determined and substantiated that an Associate (excluding NYSNA Associates) did not perform any work during that period of time deducted from the Associate's pay.
- c. Except where permitted by law, NYSNA Associates and Associates not eligible for overtime under HR Policy IV-5 shall not be docked for partial day absences, missed punches, lateness, and leaving work early but may be subject to discipline for violation of this policy and HR Policy III-14, Control of Excessive Absenteeism.

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HUMAN RESOURCES POLICY AND PROCEDURE MANUAL	SUBJECT: REST PERIODS, TERMINAL BREAKS
APPROVED:    DAVID BRODSKY	POLICY NUMBER: IV-7
	PAGES: 1 of 2
	DATE ISSUED: 9/21/64
	DATE REVIEWED/REVISED: 11/08/2023

## GENERAL POLICY:

Departments have the discretionary authority to grant to their non-union, non-exempt Associates: (a) two paid rest periods of 15 minutes each during a shift that is at least seven hours; or (b) one paid rest period of 15 minutes for a shift that is at least 3.5 hours but less than seven hours. Such rest periods are exclusive of meal periods that are required by law. Associates who are members of a union are entitled to rest periods in accordance with the applicable collective bargaining agreement.

The Medical Center strictly limits the use of “terminal breaks” (defined herein as the practice of combining an Associate’s meal and/or break periods at the beginning or end of their shift).

- Associates hired after July 31, 2006 may not utilize terminal breaks unless the Senior Vice President of Operations or other appropriate Senior Vice President or Vice President expressly approves such breaks in writing.
- Associates hired on or before July 31, 2006 may utilize terminal breaks only in certain designated departments and/or units. Business Information Systems and the Office of Employee and Labor Relations shall jointly maintain the list of such designated departments and/or units.

## POLICY APPLICABLE TO:


All Associates (including, but not limited to, employed physicians, attending physicians, house staff, students) and agency workers.

## PROCEDURE:

### 1. Rest Periods

- a. Departments have the discretionary authority to grant their non-exempt Associates paid rest periods.
- b. Such rest periods, if granted, shall be limited as follows:
  - i. No more than two (2) rest periods of fifteen (15) minutes each during a shift that lasts seven (7) hours or more.
  - ii. No more than one rest period of 15 minutes during a shift that lasts at least 3.5 hours but is less than 7 hours.
  - iii. Such rest periods are exclusive of any meal periods required by law or policy.
- c. Departments that grant rest periods shall schedule them in light of patient care needs and operational needs.

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- d. Except as otherwise provided herein, departments shall not schedule rest periods at the beginning or end of a shift, or immediately preceding or following a meal period.
  - e. Associates may not use rest periods to visit or socialize with other Associates who are working.
2. Terminal Breaks.
- a. Associates hired on or before July 31, 2006.
    - i. Terminal breaks have been approved for certain Associates hired on or before July 31, 2006 only in specific departments and/or units.
    - ii. The Director of Employee and Labor Relations shall provide the list of departments and/or units upon request.
  - b. Associates hired after July 31, 2006.
    - i. The Senior Vice President of Operations or other appropriate Senior Vice President or Vice President must approve the use of terminal breaks by an Associate hired after July 31, 2006, regardless of where the Associate works, and even if the Associate's co-workers in the same area have prior approval to use terminal breaks.
    - ii. The Senior Vice President of Operations or other appropriate Senior Vice President or Vice President will only consider requests for the use of terminal breaks that are in writing and endorsed by the relevant operational Vice President.

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<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: WAGE AND SALARY POLICY-SCALE ASSOCIATES</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-9</b>
	<b>PAGES: 1 of 3</b>
	<b>DATE ISSUED: 03/02/65</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of Montefiore Medical Center to maintain an internally consistent wage structure.


## POLICY APPLICABLE TO:

Associates who are either covered by Collective Bargaining Agreements or who are Non-Exempt under the Fair Labor Standards Act.

## PROCEDURE:

1. Salaries are to be paid at the established and published rates for the specific positions involved and no exceptions are to be applied without the approval of the Senior Vice President of Human Resources or designee for such exceptions.
2. Scale positions (single “job rate” positions) include positions analyzed and classified in
  - Maintenance and Service Grades 1M through 9M
  - Technical Grades 1T through 8T
  - Clerical (Union and Non-Union) Grades 1C through 7C
  - Nursing Scales
  - Physical Therapist Scales
  - Security Guard Scales
  - Local 30 Engineering Scales
  - Ungraded positions
3. An ungraded position negotiated with specific job rates in the Maintenance and Service, Technical and Clerical categories.
  - a. **Hiring Rates**
    - i. The starting salary position will be at the hiring rate for the grade to which the job is assigned or at the hiring rate published for the specific position in the applicable Classification and Compensation Schedule.
    - ii. The starting salary for positions with different salary levels based on experience will be determined by the Human Resources Department through analysis of an applicant’s experience. Hiring rates will not be in between collective bargaining agreement steps for experience levels.

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## **b. Wage Increase**

- i. Associates will receive all increases negotiated by the Medical Center with the Union.
- ii. Associates in jobs for which there are different salary levels for experience will receive the appropriate increases on their experience dates.

## **c. Promotions and Reclassifications**

The Vice President of Employee and Labor Relations or designee, must initially approve all position reclassifications. Individual reclassifications or promotions must be approved by the Director of Compensation or designee. No Associate will be reviewed for reclassification until a minimum of six (6) months has elapsed since the last review. Associates who are promoted or reclassified will be brought to the rate for the job to which they are promoted or reclassified in their collective bargaining agreement or provided a \$20 bi-weekly promotional guarantee of their job rate. All increases will be effective on the beginning of the payroll period closet to the date of the promotion or reclassification.

## **d. Transfers**


An Associate who is transferred or reclassified from one position to another will have their salary rate determined by the specific job rate of the position to which they transferred or is classified.

## **e. Demotions**

Associates who are changed from a position at one job rate to a position at a lower job rate will have their salary adjusted as follows:

- i. Involuntary demotion: The Associate's salary will be reduced to the published rate in effect for the lower paid position as of the date of transfer to that position. For protected Associates, their rates will not be changed.
- ii. Voluntary demotion: Associates will be brought to the job rate for the new position.

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## 4. Employment

Hiring salaries will be entered on the Requisition for Personnel form by the Human Resources staffing and recruiting Department after the Associate has been hired. The Human Resources Department will process the necessary papers to place the Associate on the payroll.

## 5. Status Changes

Changes should be processed by the organizational unit through Workflow and forwarded for approval in conformance with Policy I-5: Approving Authority for Personnel Actions

## 6. Reclassifications

Upon request for a reclassification of an Associate's position by a department and approval of the reclassification request by the Human Resources Employee and Labor Relations Department, the Human Resources Compensation Department will study the position. Positions will not be considered for reclassification unless:


- a. position duties representing at least one-third (1/3) of the original duties have changed
- and*
- b. the position has been evaluated within the preceding six (6) months.

The Department Head who initiated the reclassification request, as well as the Human Resources Business Partner, will be notified of the results for initiation of the appropriate salary change(s), if any for Associate(s) in the position classification.

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<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Salary Administration Program- Management and Executive Staff</b>
<b>APPROVED:</b>    <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-10</b>
	<b>PAGES: 1 of 4</b>
	<b>DATE ISSUED: 03/15/65</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of Montefiore Medical Center to compensate each Associate throughout the Medical Center at a competitive salary level that is consistent with accountabilities and job performance.

## POLICY APPLICABLE TO:

All Management and Executive Associates.


## PROCEDURE:

By maintaining an effective program of salary administration, Montefiore will have the ability to attract and retain qualified personnel.

### 1. DEFINITIONS:

- a. Anniversary Date: The annual date on which an Associate's performance and salary review will be scheduled and effective. This date is established on the date of employment, promotion or demotion of the Associate into their current position, salary adjustment or the effective date of the last merit increase. In the event of a performance review and merit increase which occurs six months from the date of employment or promotion (see Section 2 (d)) the anniversary date will be established as the date of such performance review and merit increase, and the annual performance and merit review will be scheduled twelve months from that date.
- b. Annual Evaluation/Review of Progress Against Objectives: This is an annual evaluation/review of performance conducted as a key element in Montefiore's Performance Evaluation System. In the review, the Supervisor is expected to discuss the Associate's performance in respect to achieving overall position accountabilities and related competencies, key agreed-to objectives and leadership behaviors embodied in the Standard of Behavior. The "Summary Rating" resulting from this performance review proceeds the basis for the Supervisor's determination of the amount of the Associate's merit increase according to the merit increase guide as provided by the Compensation Department.
- c. Demotion: A Demotion normally occurs when an Associate is assigned to a lower graded position.
- d. Grade: This is an alphabetic designation of a position's level based upon the nature and scope of the position and its accountabilities.
- e. Hiring Salary: This is the starting salary for a new Associate in a position: Normally, this salary would be between the Minimum and Midpoint of the position's particular salary range depending on the person's experience and other qualifications.

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- f. Merit Budget Administrator: The Merit Budget Administrator is the designated departmental executive who has been given the accountability for coordinating Merit Increase Budget.
- g. Merit Increase Budget: The Merit Increase Budget is an amount of merit increase dollars allocated based on current eligible Associate's salaries and the annual increase percentage amount approved for merit increases by executive management. A separate budget will be established for each department or group of departments and the Merit Budget Administrator's accountability is to implement pay for performance by insuring expenditure of budgeted funds according to Merit Increase guidelines.
- h. Promotion Increase: A salary increase determined to be appropriate to recognize an Associate's greater accountabilities in a higher graded position.
- i. Reclassification: A Reclassification of a position results when substantial changes in its accountabilities occur and the grade is changed based on the new description and a different evaluation. Incumbents in a position reclassified into a higher grade should be considered for a promotional increase. Incumbent(s) in a position reclassified into a lower grade will normally be subject to salary administration based upon the grade classification. In unusual circumstances an incumbent's salary or the salary grade may be "red circled."
- j. Salary Range: This range defines the normal spread of salaries that can be paid in each grade. The ranges are reviewed periodically and adjusted as required to maintain their competitiveness. Each range has a "Minimum," "Midpoint" and "Maximum" salary.
  - i. *Minimum*: This is the lowest salary normally paid in the grade for an Associate who has all the basic qualifications to perform effectively in the position.
  - ii. *Midpoint*: This is the middle salary range for the grade. The midpoint is maintained at a sufficiently competitive position with respect to the employment market for thoroughly experienced and qualified Associates and employment candidates. Therefore, the midpoint represents the point where the salaries of thoroughly experienced qualified and effectively performing Associates should be concentrated.
  - iii. *Maximum*: This is the top salary in the grade that should be reserved for, and paid to, only the most outstanding performer.

## 2. AVAILABLE SALARY ACTIONS UNDER THE PROGRAM

- a. New Hire: Prospective Associates will be offered a salary between the Minimum and Midpoint of the salary ranges depending on the specialized education or training or

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directly applicable experience of the candidate. Since the Salary Range Midpoint represents the competitive market salary for a thoroughly experienced and qualified Associate, salary offers above the Midpoint require approval of the appropriate Vice President prior to any salary commitment being communicated to the candidate.

- b. Promotion/Reclassification: When an Associate is offered and accepts a higher graded position, or when an incumbent's position is reclassified to a higher grade as a result of additional duties and accountabilities, this is considered a Promotion and the Associate is eligible for a Promotion Increase. As a percent of current salary, a Promotion increase should be awarded in conformance with the published Promotional Increase Guidelines. The promoted Associate's new salary normally should not fall below the Minimum or exceed the Maximum of the new grade.
- c. Demotion: A demoted Associate's salary may be adjusted to a level consistent with other incumbents (if any) in same position. The demoted Associate's salary should not exceed the maximum of the new salary range.
- d. Merit Increase: A Merit Increase is a salary adjustment to reward an Associate for relative achievement of accountabilities and competencies, objectives and leadership behaviors as agreed to with the Associate's Supervisor during the Annual Evaluation. Merit Increases must be awarded in conformance with the published Merit Increase Guidelines. Merit Increases are normally made on Associate's Anniversary Dates. However, if a written commitment by an appropriate authorizing executive is made for a six-month review at the time of hire or promotion, a Merit Increase may be granted at the time of the six-month review. The Anniversary Date will then be established twelve months following the date of that review. Subsequently merit reviews occur annually on the Anniversary Date.
- e. Movement to Minimum: If an Associate's salary falls significantly below the minimum of the salary range for the grade of the Associate's position, the Associate's performance and salary may be reviewed every six months.



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### 3. MERIT REVIEW POLICY AND PROCEDURE


- a. The Merit Budget Administrator is accountable for administering Merit Increases within the available Merit Increase Budget funds or justifying exceptions to divisional and executive management.
- b. The Merit Budget Administrator is accountable for assuring completion of the annual evaluation/review documentation and its submission together with the related recommended Merit Increase action including all required approvals to Human Resources.
- c. Associates should be notified of the amount of any recommended increase until all necessary approvals have been obtained.
- d. The Merit Increase Budget is established solely for merit increases and is not affected by promotional or reclassification increases or additions to staff.
- e. Merit amounts, which were budgeted for Associates who terminate prior to receiving their increase, remain in the pool and may be used for Merit Increases for other Associates.
- f. Merit Increase Budget amounts for Associates who transfer or are promoted to other department's budget jurisdictions prior to their being awarded are transferred to the fund balances in the Associate's new department.

### 4. REEVALUATION POLICY AND PROCEDURE

- a. In the event of a substantial change in position's accountabilities, administrators of clinical departments or department heads may request review of the position's classification. The request should be forwarded to the Director of Compensation. Reevaluation reviews will be limited to positions that have not been evaluated within the preceding six-month period.
- b. When justified by a Reevaluation review, the Compensation Department will recommend appropriate salary actions for affected Associates. Department heads should ensure that Associates affected by appropriately approved salary actions are informed before salary adjustments are included in the Associate's pay.

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<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT:</b> <b>Associates on Second Jobs/Second Work Assignments</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-11</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 02/01/67</b>
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## GENERAL POLICY:

A Vice President must give prior approval for any Associate to work a second job or second work assignment within Montefiore. Such second jobs should be limited to short-term situations where the Associate possesses a scarce or special skill needed in the second job and Montefiore is unable in a timely fashion to recruit an individual to perform the second job.

As a general rule, a salaried, overtime-exempt Associate will be paid their regular rate of pay, a session rate, or a per diem rate for work performed in a second job, unless federal or state law or a collective bargaining agreement requires a different rate of pay.

As a general rule, an hourly, overtime-eligible full-time associate will be paid a premium rate of pay (or better) for all hours of work performed in a second job over, in accordance with applicable federal and state law, or collective bargaining agreement.

## DEFINITIONS:

A second job or second work assignment means work or services that are not related to, a part of, or an extension of the Associate's normal job duties. Usually, such second work involves work or services performed outside of the Associate's primary department. Second jobs should be of limited duration, and no Associate should work a second job within Montefiore indefinitely.

Special projects, which require extended work hours within the Associate's primary department, do not qualify as a second work assignment. Likewise, voluntary overtime shifts or session work in other departments but within the Associate's professional practice and job title are not considered second jobs.

Voluntary overtime and session work, which is governed by pre-established and pre-approved rates, is not covered by this policy.


## PROCEDURE:

### 1. Authorization Request:

- a. The department requesting the Associate's service in a second job will complete the Authorization Request section of Form P-1553 "Authorization Request and Compensation Authorization for Associates on Second Position" (copy attached) and forward it to the appropriate Vice President for approval. If Special Fund allocation is involved, approvals must be obtained from Special Funds and/or The Office of Research and Sponsored Programs as indicated in Part II, prior to forwarding the request to Vice President.



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- b. The Vice President will return the approved or disapproved Authorization Request to the requesting department.
- c. An Authorization Request must be submitted for each assignment as defined and specified as to duration in the Authorization Request Form.
- d. No Associate may start a second job or work assignment until the approved request is returned to the requesting department.

## 2. Compensation Authorization:

- a. To initiate compensation for the Associate's completed work, the Department Head where the second job was performed must complete the Report of Actual Hours Worked section of Form P-1553 and forward the completed form (or a completed copy of the original form in cases where assignments span multiple pay periods) to the Associate's primary Department.
- b. The Associate's primary Department must include the hours worked by the Associate in the second job/second department on its time record and indicate the charge for the hours to the secondary department (or secondary funding source, if any, if within the same department).
- c. The primary Department is accountable for retaining the original completed form P-1553 that is subject to audit to verify appropriate authorization(s).

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<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: SESSION PAY POLICY</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-12</b>
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	<b>DATE ISSUED: 02/15/95</b>
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## GENERAL POLICY:

It is the policy of the Medical Center to establish defined sessions and a corresponding flat rate per session for non-union, exempt Associates, as defined by the Fair Labor Standards Act, who are already on the payroll, where continuity and availability of services are essential, and circumstances require it. Session pay is intended to provide compensation for required services and coverage in periods of unusual service demand, staff shortage and the like, performed by:


1. Associates who take on specific work assignments beyond their normal responsibilities and duties.
2. Associates who are employed on an “as needed” bases.
3. Associates paid for sessions worked must have an approved Sessions Pay Authorization Request on file for each type of work being performed.

## PROCEDURE:

### AUTHORIZATION REQUEST

1. The Department Administrator will contact the Human Resources Compensation Department to obtain the approved session pay rate.
2. The Department Administrator will complete the Authorization Request form and forward the form to the Operational Vice President and the Director of Compensation for approval.
3. The Director of Compensation will forward copies of the approved Authorization Request form to the Department Administrator and to Payroll.
4. After receiving the approved Authorization Request form Payroll will update the sessions table in SAP for the Department to enable sessions to be entered through Workflow.

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<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-12</b>
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	<b>DATE ISSUED: 02/15/95</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## SESSION PAY REQUEST

1. The Session Pay initiator for the Department will initiate the Sessions Pay form through Workflow for each qualified associate to obtain the required approvals by the Reviewer and/or Approver.
2. After receiving Session Pay form with approvals by Reviewer and Approver, the form will be forwarded through Workflow to Payroll for processing.
3. Sessions pay requests for \$2,000.00 or more for a day will require a second Approver.
4. If requested by the Payroll Department, a copy of the approved Authorization Request form must be provided when processing session payments for associate(s).

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: On-Call Policy</b>
<b>APPROVED:</b>  <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-13</b>
	<b>PAGES: 1 of 1</b>
	<b>DATE ISSUED: 02/15/1995</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

1. It is the policy of the Medical Center to minimize the need for non-exempt Associates (those who are eligible for overtime pay in accordance with the Fair Labor Standards Act (FLSA) to be on-call off the premises of the Medical Center. Exempt Associates (those who are not eligible for overtime pay in accordance with the FLSA) will not receive additional compensation for on-call time off hospital premises except where required by contract, policy or collective bargaining agreement.
2. When it is deemed that the most efficient means to cover a service during off hours is to have a non-exempt Associate be on-call, the approval of the appropriate Vice President is required prior to establishing the on-call arrangement.
3. Associates covered by the collective bargaining agreements (CBA) of either NYSNA or 1199 who are participating in mandatory "on-call" arrangements will be compensated at three-quarters of their regular base pay for hours on-call, in accordance with the provisions of the applicable CBA. Where required by law, the Associate may be compensated their full regular rate of pay for all time spent on-call.
4. Any arrangement for on-call coverage and pay that is not required or permitted by a CBA must be approved by the Senior Vice President of Human Resources or designee.

## DEFINITIONS:


1. On-call is an arrangement wherein an Associate is required to be available off the Medical Center's premises and subject to be called to work when needed.
2. An arrangement where an Associate agrees to be contacted by the Medical Center while off duty to determine whether the Associate will voluntarily work is not an on-call arrangement.

## PROCEDURE:

1. The Department requesting an on-call arrangement will obtain the approval of the appropriate Vice President of Operations.
2. The hours of on-call are reported to the Payroll Department by memo.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Incentive Award Plan Policy</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-14</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 02/15/95</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

1. Where defined divisional, clinical, or departmental objectives can be positively and significantly affected by outstanding efforts by Associates, it is the policy of Montefiore Medical Center to support the development of plans for incentive awards for those Associates.
2. Specific incentive award plans must be approved by the Incentive Compensation Committee composed of the Executive Vice President of Operations, Senior Vice President of Human Resources and Executive Vice President, Finance.
3. The Compensation Department will assist divisions and departments in the development of incentive award plans and will collaborate with them in recommendations to the Incentive Compensation Committee.
4. Specific proposed plans or plan changes shall not be discussed and reviewed with the eligible participants(s) prior to formal approval of the plan by the Incentive Compensation Committee.

## POLICY APPLICABLE TO:


All Associates (including, but not limited to, employed physicians, attending physicians, and house staff).

## PROCEDURE:

1. Any division or department proposing to establish an incentive award plan must contact the respective division's Human Resources Business Partner. The Human Resources Business Partner and the Director of Compensation will work collaboratively with appropriate divisional and/or departmental management Associates to develop a specific incentive award plan. Any plan which proposes including bargaining unit members as eligible participants must include Assistant Vice President, Labor Relations as part of the design team.
2. The specific plan must comply with the following criteria:
  - a. The plan will be self-funding through incremental revenue and/or reduced operating expenses and/or incorporate specifically measurable operational objectives, which impact significantly on divisional or departmental performance.
  - b. The plan must specify measurable quantitative and/or qualitative objectives.




# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Incentive Award Plan Policy</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: IV-14</b>
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- c. Eligible Associate(s) must have direct and controllable impact on the measurable objectives selected as criteria for payout. Measurable objectives in the plan as criteria for payout must be only those which the participants can significantly influence and/or control.
- d. Each plan objective must support departmental, divisional and Montefiore Medical Center objectives.
- e. The specific dollar amount of the individual and aggregate maximum incentive payout must be specified.
- f. The specific dollar amount of the individual and aggregate maximum incentive payout must be specified.
- g. The formula for payout shall be based upon a specific percentage of base salary (including experience differential where applicable) or specific dollar amount(s) as judged reasonably related to the plan's specific financial and/or operational objectives.
- h. The plan must be stated for a period of one year or stated with specific termination date within one year at which determination will be made of whether and to what extent there should be payout (s).
- i. Payout may be made only with the concurrence of Incentive Compensation Committee following a review of the achievement of plan objectives at the close of the plan period.
- j. Participants must be on the active payroll at the close of the plan year and will participate in any payout on a pro-rated basis based on the number of full months as an eligible participant.
- k. The sponsors for a specific plan are ineligible to participate in that plan.
- l. Montefiore Medical Center Management reserves the right to discontinue or modify a departmental plan.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT:</b> <b>New York State Disability Insurance</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER:</b> V-3
	<b>PAGES:</b> 1 of 1
	<b>DATE ISSUED:</b> 10/05/64
	<b>DATE REVIEWED/REVISED:</b> 11/08/23

## GENERAL POLICY:

Montefiore Medical Center provides the following:

1. Contributions to the 1199 Benefit Fund which arranges New York State disability insurance for its members. No deduction for disability is made from members' checks.
2. Coverage by New York State Disability Insurance for all other Associates through payroll deductions of one-half (1/2) of one percent (1%) of earnings, not to exceed \$1.20 bi-weekly.
3. Weekly disability payments, equal to fifty percent (50%) of an Associate's regular weekly salary, up to a maximum of \$170 per week. Benefits are paid for no more than six (6) months in any fifty-two (52) week period. Total benefits, including paid sick leave, will not exceed one hundred percent (100%) of base salary.

## ELIGIBILITY:


In accordance with the provisions of the New York State Disability Law.

## PROCEDURE:

1. An Associate must notify their Departmental Head when they are absent due to non-occupational injury or illness.
2. The Associate's Department Head must complete a Leave of Absence Request Form immediately following the seventh (7<sup>th</sup>) consecutive calendar day of absence and submit it to the Central Leave Administration Office (CLAO) through Manager Self-Service in HCM and is to attach the Leave of Absence Request Form in HCM. This procedure applies to all Associates, including Associates represented by a union.
3. A Notice and Proof of Claim for Disability Benefits (Form DB 450) must be completed by the claimant and their physician. The form must be submitted to CLAO immediately following the seventh (7<sup>th</sup>) consecutive calendar day of absence. Delay in filing claims will result in long delays in receiving benefits. Failure to file a claim within thirty (30) days of the initial day of absence may result in loss of all disability benefits.
4. The Disability Insurance carrier will mail disability benefit checks directly to the Associate's residence.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Work Related Injuries and Workers' Compensation</b>
<b>APPROVED:</b>  <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-5</b>
	<b>PAGES: 1 of 3</b>
	<b>DATE ISSUED: 6/5/12</b> Merged Policies V-5 & VII-9 – Issued in 1970
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

In accordance with New York State law, Montefiore Medical Center provides workers' compensation benefits to Associates who are disabled due to accidental injury or illness arising out of and in the course of employment. Associates must report to Occupational Health Service (OHS) when such an injury occurs.

Workers' compensation benefits are determined by state law and are equal to 2/3 of the Associate's average weekly wage, up to a maximum determined by law. No compensation is payable for the first seven (7) days unless the disability exceeds fourteen (14) days. Other related medical expenses are provided in accordance with the provisions of New York State Workers' Compensation Law.

## POLICY APPLICABLE TO:

All Associates (including, but not limited to, employed physicians, attending physicians, house staff, and paid students).


## PROCEDURE:

1. The Associate is responsible for notifying their supervisor immediately following an accident.
2. The Associate and/or manager call a toll-free CorVel 24/7 Nurse Triage Advocacy Line (1-800-683-6778) to report the injury or illness at the time it occurs or as soon as the manager is notified of its occurrence by the Associate. The Associate and manager complete the "Report of Injury/Illness to Employee" form that is available through the intranet in the Human Resource section under Managers Toolkit or Associate Resources. The form should be faxed to Occupational Health Services at 718-920-2169.

### Note:

- Blood Borne Pathogen Exposures should be reported directly to Occupational Health Services or the nearest Emergency Department.
  - If the injury or illness requires immediate attention, depending on the nature and/or severity of the injury, Associates should go directly to Occupational Health Services or to the nearest Emergency Department. The call to CorVel can always be made later. If practical, Associates who go to the Emergency Department should follow-up with Occupational Health Services the next business day or as soon thereafter as possible.
3. OHS hours are Monday through Friday, 8:00am – 4:00pm. If an injury occurs when OHS is closed the Associate should seek treatment through the Emergency Department (ED). The Associate must report to OHS on the next business day.


# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Work Related Injuries and Workers' Compensation</b>
<b>APPROVED:</b>    <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-5</b>
	<b>PAGES: 2 of 3</b>
	<b>DATE ISSUED: 6/5/12</b> Merged Policies V-5 & VII-9 – Issued in 1970
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

4. In the event of loss of a limb, death or serious injury, the Human Resources Department and OHS should be notified immediately.
5. An Associate placed off duty as a result of a work-related injury/illness either by OHS or the ED is responsible for notifying their supervisor and presenting appropriate documentation. An Associate placed off-duty is also responsible to follow-up with OHS on a weekly basis or as directed by an OHS clinician.
6. If an Associate is unable to perform their job or requires any change in working conditions (hours, shifts, change of job), as a result of a work-related accident or illness, then this must be reported to OHS. OHS will notify Employee and Labor Relations. OHS, CorVel and/or Employee and Labor Relations will engage in a written or oral dialogue with the Associate and the Associate's department concerning the Associate's accommodation needs; potential accommodations that may address the Associate's accommodation needs, including alternatives to a requested accommodation; and the difficulties that such potential accommodations may pose for Montefiore. A reasonable accommodation may include placing the Associate in a transitional, temporary, or alternate position.
7. The Associate may be required to sign a release allowing OHS to review medical records maintained by other physicians. The Associate will be required to comply with OHS or workers' compensation directives for examination in order to determine work capability.
8. OHS, in concert with the Associate's primary care provider (PCP) and CorVel, will provide recommendation regarding treatment and accommodation for the Associate.
9. OHS clinicians have the responsibility to determine the ability of the Associate to perform the main function of their job and the ability to return to department or to perform an alternate/transition duty. This may be done in collaboration with the Associate's private clinician.
10. OHS, Human Resources and/or CorVel in consultation with each other, as appropriate, and with the Associate's Department and the Associate, in accordance with applicable law, will determine what reasonable accommodations, if any, can be granted to the Associate.
11. At the conclusion of the dialogue process, either CorVel or Montefiore will inform the Associate of the accommodation decision. If done by Montefiore, Employee and Labor Relations or the Associate's Manager in consultation with each other and OHS will complete a Grant or Denial of Reasonable Accommodation Request Form and provide it to the Associate. The Form will inform the Associate whether the request for an accommodation has been



# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Work Related Injuries and Workers' Compensation</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-5</b>
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granted, denied, or an alternative accommodation will be provided. The Associate is to sign the form to indicate receipt of the form and a copy kept in the Associate's departmental file. The template Form is available on the Montefiore Intranet.

12. Employee and Labor Relations must approve any denial of a request for accommodation.
13. If reasonable accommodations are not possible, the Associate will be placed on leave until either they are able to perform the main functions of the job, with or without accommodation, or the leave expires. The length of the leave shall be determined by Montefiore policy, any applicable collective bargaining agreement, or applicable laws. See Policy VI-8, Non-Discrimination Against and Accommodation of Individuals with Disabilities.
14. A copy of the Report of Injured Employee form is forwarded to the Safety Director, who will investigate the circumstances and make appropriate recommendations to prevent future accidents and then report the incident to the Safety Committee.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Occupational Health Services</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-12</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 10/05/64</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

The Occupational Health Service, a unified Department, has as its primary responsibility the medical aspects of Associate health-related regulatory compliance, monitoring medical aspects of work-related illness or injury, and pre-placement and fitness for duty examinations.

## POLICY APPLICABLE TO:


All Associates (including, but not limited to, employed physicians, attending physicians, house staff, and volunteers).

## PROCEDURE:

The Occupational Health Service (OHS) offers the following services to all the Medical Center's Associates:

1. Health Assessment – This is a program of periodic examination and/or assessments that is mandatory under law and Medical Center policy. The results of these assessments are held strictly confidential (except as may be required by law) and are normally discussed only with the Associate whose health is being assessed. COMPLIANCE WITH MANDATED HEALTH ASSESSMENTS IS A CONDITION OF EMPLOYMENT.
2. Occupational Injury or Injury at Work – Anyone who is injured at work or whose illness is suspected of being caused by their work, must notify their supervisor immediately and the Associate and/or manager contact CorVel 24/7 at (800-683-6778) Nurse Triage Advocacy Line) to report the injury or illness at the time it occurs or as soon as the manager is notified of its occurrence by the Associate. Very serious illnesses or injuries should be referred to the Emergency Department. In the event of an injury at work site, the Supervisor is responsible for completing an accident report (Report of Injured Employee Form) which must be forwarded and received in the OHS within twenty-four (24) hours.
3. Reporting to the OHS after an Absence – When returning to work after being absent because of illness or injury (other than pregnancy), an Associate must call OHS prior to return to schedule an appointment to obtain a "Return to Work" slip/clearance. A "Return to Work" slip will be emailed to the Associate and their manager. This permission from OHS is required when:
  - the absence is more than five (5) days;
  - the absence is more than three (3) days for an Associate working over 11 hours; or
  - the absence is job related or thought to be job related.

# Montefiore Einstein


<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Occupational Health Services</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-12</b>
	<b>PAGES: 2 of 2</b>
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4. Illness at Work – Anyone who becomes ill at work may visit OHS for medical care or may call OHS to schedule a telephonic visit. If assistance is required outside the OHS hours, the Associate should contact the appropriate Emergency Room for medical care. The Associate must obtain permission from their Supervisor to visit the OHS or the appropriate Emergency Room. The initial visit to the OHS shall be considered as time worked if the Associate reports to his/her work area first and has obtained their Supervisor's permission. If the Associate is sent home from the OHS, sick time shall commence at that point. Associates who clock in and go directly to OHS must use sick time. Associates who go directly to OHS without first reporting to their work area and obtaining the Supervisor's permission will not be seen by OHS except in an emergency situation.
5. Physician Referral – OHS is available to provide information to help Associates select physicians who are generalists or specialists who are located at the Medical Center, near the Medical Center or in the area where the Associate resides. OHS does not serve as an Associate's primary care practitioner.

The OHS will operate on schedules published for each OHS location.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Tuition Reimbursement</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-18</b>
	<b>PAGES: 1 of 3</b>
	<b>DATE ISSUED: 10/5/64</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is policy of Montefiore Medical Center to refund tuition, registration and laboratory fees for eligible Associates:

1. Taking courses toward an undergraduate or graduate degree, which Montefiore deems beneficial to the performance in the Associate's current position.
2. Taking courses toward an undergraduate or graduate degree, which, in accordance with the Administration's judgment, could be a potential benefit to Montefiore.


Payments are limited to courses:

1. Taken on the Associate's own time, except as otherwise approved by Administration.
2. Successfully completed at an accredited or licensed institution.
3. Started after date of hire and completed prior to date of termination.

## ELIGIBILITY:

1. All full-time regular Associates who are not represented by a collective bargaining agreement, except those specifically outlined below, will be reimbursed 100% up to a maximum of \$3,000, per academic year. (Also see 3-b below)
2. All part-time regular Associates who are not represented by a collective bargaining agreement, working at least 50% of the full-time schedule, are eligible to receive reimbursement on a pro-rated basis.
3. Associates represented by a collective bargaining agreement will be provided benefits as
  - a. Registered Nurses covered by the NYSNA collective bargaining agreement shall be eligible in accordance with Section 10.09 – Tuition Refund – of the contract.
  - b. Registered Nurses, members of NYSNA at Montefiore, who moved to supervisory non-NYSNA positions, will be reimbursed up to a level equal to, but not higher than, what they would have been entitled to as members of NYSNA. It will be only for educational degree programs they had already started and enrolled in before leaving NYSNA until completion of such degrees or programs, or the lapse of three academic

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Tuition Reimbursement</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-18</b>
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years beyond the year of appointment to the non-NYSNA position, whichever occurs first, after which, the Associate will be eligible for 1 or 3 above, as applicable.

- c. Associates covered by the League/1199 collective bargaining agreement are eligible in accordance with the provisions of Article XXII – Training and Upgrading of the contract.
- d. Associates covered by the New York Chapter of the American Physical Therapy Association (APTA) shall be eligible in accordance with the provisions of Article XXII – Tuition Refund – of the contract.

## PROCEDURE FOR TUITION REIMBURSEMENT:

1. An Associate interested in obtaining tuition reimbursement, who is eligible under this policy, must submit an Application for Tuition Reimbursement, within 45 days of the start of the course or courses, to Human Resources Benefits Division – Tuition Office. The comment section of the application should be used to explain how the degree course(s) will benefit Montefiore. The application must have the Department Head and appropriate Administrator signatures or approval on the Tuition Reimbursement form.
2. The Human Resources Benefits Division – Tuition Office will review all requests to insure inform application of policy requirements. Applications meeting all criteria will receive prior approval and the application will be maintained on file with the Human Resources Benefits Division - Tuition Office
3. Upon satisfactory completion of the course or courses the applicant must submit proof of payment (bursar's receipt) and a school transcript indicating grade(s). Satisfactory completion of a course is defined as grade of "C" or better or "Pass" in a "Pass/Fail course. Montefiore will not reimburse applicants who submit Request for Reimbursement later than 90 days from the date of course(s) completion.
4. The HR Benefit Division – Tuition Office will issue final approval on applications that meet all criteria and forward them to the Payroll Department for payment directly to the Associate.
5. Reimbursement is provided via payroll check and may be subject to State, Local, and Federal Taxation.

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Tuition Reimbursement</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-18</b>
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## **CME:**

In additional to tuition reimbursement, Physician Assistants may be reimbursed for CME expenses such as conference fees, professional dues and periodicals. Maximum annual reimbursement is \$500 for Physician Assistants and \$700 for Senior Physician Assistants. Reimbursement will be processed by Human Resources Benefits Division – Tuition Office upon submission of receipts and sign-off by the Associate's department.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT:</b> <b>Tuition Reimbursement for Children of Doctors, Scientists and Executives</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-20</b>
	<b>PAGES: 1 of 1</b>
	<b>DATE ISSUED: 08/11/69</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

The Medical Center will reimburse for tuition, room, board and books for a maximum of four (4) years per unmarried, dependent child of eligible Associates. Payments are limited to courses started after Associate's date of hire and completed prior to Associate's date of termination.

Courses must be taken at an accredited college or university and must lead to an undergraduate or graduate academic degree.

## ELIGIBILITY:

Full-time regular Attending Physicians, Dentists, Veterinarians, Professionally Appointed Scientists and Executives whose grade level is P and or ungraded above are entitled to reimbursement for eligible expenses of up to \$4,500 per academic year (September 1 – August 31).

Chiefs of Service and Vice Chairpersons are entitled to reimbursement for eligible expenses of up to \$5,500 per academic year (September 1 – August 31).


The President, Vice President, Medical Directors and Chairpersons are entitled to reimbursements for eligible expenses of up to \$6,000 per academic year (September 1 – August 31).

## PROCEDURE:

1. Associates interested in obtaining tuition reimbursement for their eligible dependent children must submit an Application for Tuition Reimbursement for Children of Doctors, Scientists and Executives to the Human Resources Benefits Department.
2. Proof of eligible costs must be attached to the application. Proof must either be in the form of an itemized bill or receipt.
3. A letter of acceptance from the college or university must be submitted before payment can be granted. This letter need only be submitted with the first application for tuition. It should state that the student is enrolled in an academic program leading toward an undergraduate or graduate degree. If the student changes schools, a letter from the new school must be submitted.
4. The Human Resources Benefits Department will forward approved application to the Payroll Department for payment.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Scholarship Program for Children of Associates</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: V-21</b>
	<b>PAGES: 1 of 1</b>
	<b>DATE ISSUED: 05/07/70</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

The Montefiore Scholarship Program has been established to provide incentive and opportunity for the children of Montefiore Associates to undertake college education. The scholarship awards will be based primarily on financial need. The number and dollar amount of these scholarships will be determined annually based on budgetary restrictions.

## ELIGIBILITY:


1. All full-time regular Associates who have been employed by the Medical Center for at least one (1) year prior to application.
2. Total family income and general expenses must be shown to demonstrate financial need.
3. Student applicants must provide complete information on scholarships granted by sources other than Montefiore Medical Center.
4. Student applicants must provide either a letter of acceptance from an accredited two (2) or four (4) year college (for new students) or transcript of grades indicating successful completion of last semester's program (for continuing students).

## PROCEDURE:

1. Scholarship application will be available on the Montefiore Intranet on the Human Resources page under Benefit Information, Tuition Office in March of each year unless otherwise announced.
2. Applications should be completed and returned to the Tuition Office, Benefits Department, together with all supporting documents, by July 1st of each year unless otherwise announced.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Disciplinary Action</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-2</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 10/12/64</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of Montefiore Medical Center to provide consistent and equitable discipline for violations of policies, procedures, work rules, regulations and/standards of behavior.

## POLICY APPLICABLE TO:

All Associates (including, but not limited to, employed physicians, attending physicians, house staff, and students.)

## PROCEDURE:

Violation of Medical center policies, procedures, work rules, regulations and/or standards of behavior will subject an Associate to disciplinary action. The Supervisor is responsible for taking corrective action when an Associate violates Medical Center rules or regulations as outlined in Human Resources Policy and Procedure #VII-1: Medical center Rules and Regulations.


Progressive discipline may be followed and take the form of a Verbal Warning, Written Warning, Suspension without pay for a designated period of time, or Dismissal. However, except as stated in the next paragraph, neither Suspension nor Dismissal should be administered without prior review of recommended action with a representative of the Employee and Labor Relations Department. See Human Resources Policy and Procedure I-3: Discharge for Cause and Human Resources Policy and Procedure II-9: Discharge and II-12: Termination of Employment or Affiliation.

In the Case of an alleged serious infraction, the Associate should be placed off work, without pay, pending investigation. If Supervisor determines that the Associate did not commit the infraction, then they will be paid for the time lost. If Supervisor determines that there is reasonable cause to believe the Associate committed the infraction, then, after review with representative of the Employee and Labor Relations Department, appropriate discipline, i.e., Suspension or Discharge for Cause will be imposed.

In determining the type of disciplinary action that should be taken, the following criteria should be used:

- For a serious infraction, an Associate should be suspended pending dismissal until such time as the case can be investigated and reviewed with a representative of the Employee and Labor Relations Department.
- For a minor infraction, progressive discipline should be followed.

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Disciplinary Action</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-2</b>
	<b>PAGES: 2 of 2</b>
	<b>DATE ISSUED: 10/12/64</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

- The time elapsed since the last infraction is important in determining whether disciplinary action should be taken, and if so, at what level.

## DISCIPLINARY PROCESS:

The Supervisor should complete the Discipline Notice Form. The Supervisor should give the copy to the Associate, retain the original for the Associate's departmental personnel file and email a copy of the suspension and dismissal Discipline Notice Form to the Employee and Labor Relations Department.

If the Associate is covered by a collective bargaining agreement, the Associate should be advised that they have the right to have a Union representative present at each step of the disciplinary process. The disciplinary process should not be permitted to be unduly delayed if a Union representative is not available. If the Associate claims that a delegate is not available, the Supervisor should direct the Associate to return with a delegate within twenty-four (24) hours. If the employee fails to return with a delegate, the Supervisor should immediately contact Employee and Labor Relations Department.

The Supervisor should always have a management witness in attendance when conducting a disciplinary meeting. The Supervisor should state the nature of the offense, and, if appropriate, offer the Associate an opportunity to respond. The Supervisor should read the Discipline Notice to the Associate and request the Associate and Union representative to sign it. If the associate refuses to sign the Discipline Notice, the Supervisor should record the fact that the associate refuses to sign in the space provided for that individual's signature. If the Union representative(s) refuses to sign the Discipline Notice, the Supervisor should print their name(s) in the space provided for that individual(s) signature.

The Supervisor should always consult with a member of the Employee and Labor Relations Department prior to suspending or terminating an Associate.

Immediately after suspending or terminating an Associate, the Supervisor should email a copy of the Discipline Notice and any attachments to the Employee and Labor Relations representative who was consulted. A copy of the Discipline Notice must be faxed to the number on the second page of the Discipline Notice. The Employee and Labor Relations representative will then notify the appropriate Union office within forty-eight (48) hours of the Suspension or Termination.

*All Medical Center Human Resources Policies and practices are guidelines and may be changed, modified or discontinued at any time by the Medical Center's Senior Vice President of Human Resources, or designee, with or without notice. Exceptions do not invalidate the basic policy.*



# Montefiore Einstein

## Distribution:

Associate

Department File

Human Resources

## DISCIPLINE NOTICE

MMC Date of Hire \_\_\_\_\_ EZ-Time ID # \_\_\_\_\_

Associate Name \_\_\_\_\_  
(Last Name, First Name)

Division \_\_\_\_\_ Department \_\_\_\_\_

Job Title \_\_\_\_\_

### PROVIDE BRIEF DETAILS OF OFFENSE(S)


**Further violation of any MMC rules, policies, practices or procedures will result in further disciplinary action up to and including suspension and or termination.**

### CORRECTIVE ACTION IMPOSED FOR CURRENT OFFENSE(S)

☐ Verbal Warning

☐ Written Warning

☐ Termination

☐ Suspension \_\_\_\_ Working days off Without Pay

LIST EFFECTIVE SUSPENSION DATE(S) OR TERMINATION DATE:  
ISSUED

\_\_\_\_\_  
(Associate's Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Please PRINT & SIGN Management Representative  
issuing discipline)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Phone Number)

\_\_\_\_\_  
(Please PRINT & SIGN Management witness signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Phone Number)

\_\_\_\_\_  
Print Name of Union Representative or Indicate If Associate Waived Representation

BRIEFLY INDICATE WHAT THE ASSOCIATE SAID IN THEIR DEFENSE:

ISSUANCE DATE	CORRECTIVE ACTION IMPOSED	OFFENSE(S)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____


List in chronological order, i.e. most recent first, etc.

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**MMC DISCIPLINARY PROCEDURE**

1. It is the policy of the Medical Center to provide consistent and equitable discipline for violations of policies, procedures, rules, regulations, misconduct, inadequate job performance, and/or any other offenses that may occur.
2. Disciplinary action may take the form of a verbal warning, written warning, suspension with or without pay for a designated period of time, or termination.
3. A Union associate can be accompanied by a Union representative when being questioned regarding a matter, which is subject to discipline and during the actual issuance of a discipline notice. A representative is usually either a Delegate or an Organizer. However, a Union associate can waive representation.
4. All disciplinary actions shall be CUMULATIVELY determined based on the merits of the offense(s), the associate’s past disciplinary record, and length of employment. However, any single offense, depending upon its nature and severity, can result in SUSPENSION or TERMINATION exclusive of other considerations.
5. Human Resources must be consulted on all suspensions and terminations before they are imposed. A signed copy of the Discipline Notice must be faxed to Human Resources. For Suspensions and Terminations of Montefiore North associates and all other Montefiore associates, please fax the notice to (718) 920-6321.
6. All discipline notices should be signed by the applicable management representatives (as noted), the associate given the opportunity to sign, the original served on the associate, and copies promptly provided to the associate’s departmental file and Human Resources in the case of a suspension or termination.

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Management of Disruptive Conduct</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-3</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 02/02/09</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of the Medical Center to treat all with respect, courtesy and dignity. In order to promote the highest standard of patient care and a professional environment, the Medical Center requires that all Associates, Medical Staff members, Allied Health Professionals, Practitioners, students and volunteers conduct themselves in a civil, professional and cooperative manner. Disruptive or inappropriate conduct which could potentially have an adverse impact on patient care will not be tolerated.

Montefiore Medical Center has “zero tolerance” for disruptive/inappropriate conduct, and violations of this policy will be dealt with in accordance with established Personnel Policies.

## POLICY APPLICABLE TO:

All Associates (including, but not limited to, employed physicians, attending physicians, house staff, students) and vendors, independent contractors and volunteers.


## PROCEDURE:

Disruptive/inappropriate conduct includes, but is not limited to, the following examples:

- Threatening, intimidating or abusive statements or actions that unreasonably disrupt the work environment, cause undue emotional distress or create a reasonable fear of injury.
- Non-constructive criticism directed at the recipient in such a way as to intimidate, undermine confidence, belittle or imply stupidity, incompetence or negligence.
- Derogatory comments about the quality of care in the Medical Center or attacking particular physicians, nurses or any other caregiver.
- Inappropriate medical record entries concerning the quality of care being provided by physicians, nursing staff or the Medical Center.
- Inappropriate expressions of anger such as throwing objects or destroying property.
- Engaging in the abusive exercise of legitimate authority.

Any Associate who is subjected to or witnesses disruptive/inappropriate conduct should report the incident to their immediate Supervisor. An Associate may also report the incident directly to the Human Resources Employee and Labor Relations department, Corporate Compliance or Risk Management.

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Management of Disruptive Conduct</b>
<b>APPROVED:</b>    <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-3</b>
	<b>PAGES: 2 of 2</b>
	<b>DATE ISSUED: 02/02/09</b>
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The Associate reporting the incident will be requested to document the incident as follows:

- Date, time and place of incident.
- Description of the disruptive/inappropriate conduct including the circumstances that precipitated the incident.
- Then names of witnesses, if any, to the incident.
- The consequences, if any, of the questionable conduct on patient care, staff or Medical Center operations.
- Any action(s) taken to intervene or remedy the situation including the name(s) of those intervening.

Appropriate Medical Center personnel will then review the report. An investigation, including interviews of the Associate who submitted the report as well as witnesses to the incident, will be conducted. If it is determined that an incident of disruptive/inappropriate conduct has likely occurred the individual will be notified that a complaint has been received and given the opportunity to respond.

This policy prohibits retaliation against any individual who reports, in good faith, or participates in an investigation of disruptive/inappropriate conduct. Montefiore will severely discipline any person who engages in retaliation.


Upon completion of the investigation process, a determination regarding the report will be made. If the report is found to be unsubstantiated, no further action will be taken.

If the report is found to be substantiated, the Associate will be subject to actions including disciplinary measures, loss of privileges and/or reports to professional licensure bodies.

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# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Grievance Procedure For Non-Union Associates</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-4</b>
	<b>PAGES: 1 of 2</b>
	<b>DATE ISSUED: 07/09/71</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

## GENERAL POLICY:

It is the policy of Montefiore Medical Center to provide a grievance procedure for non-union Associates (Attendings and House Staff are excluded) that enables them to resolve grievances in a fair and equitable manner without jeopardizing their employment.

## POLICY APPLICABLE TO:

All non-union employed Associates (Attendings and House Staff are excluded).

## PROCEDURE:

A grievance may be filed by a non-union Associate under this policy concerning any disagreement with interpretation of Medical Center policies and procedures which affects the Associate's wages, working conditions, civil rights or results from an Associate's belief that the Medical Center's treatment of them is unfair, arbitrary, capricious, discriminatory or inconsistent with Medical Center policies and procedures. The Associate shall give notice of the grievance within a reasonable period of time of the action being grieved.

Most problems can be readily resolved through open discussion with the appropriate level of Medical Center management and/or the Department of Human Resources staff. Accordingly, the grievance procedure is composed for four (4) steps, as follows:


**STEP 1:** The Associate should present the grievance verbally to their immediate Supervisor and attempt to reach a mutually satisfactory settlement. It is at this step that problems can be resolved. Open dialogue will often result in a resolution of the problem. The immediate Supervisor will attempt to mutually solve the problem with the Associate and verbally respond to the Associate.

If no mutually satisfactory settlement of the grievance results from Step 1, the Associate may present the grievance in writing, with a copy of the Director of Employee and Labor Relations, to the Department Head after receipt of the verbal decision in Step 1.

**STEP 2:** The Department Head will schedule a meeting with the Associate and appropriate management personnel following receipt of the grievance. The Department Head will review and respond to the grievance in writing, with a copy to the Director of Employee and Labor Relations.

If no mutually satisfactory settlement of the grievance results from Step 2, the Associate may present the grievance in writing, with a copy to the Department Head, to the Director of Employee and Labor Relations after receipt of the written decision in Step 2.

# Montefiore Einstein

<b>HUMAN RESOURCES POLICY AND PROCEDURE MANUAL</b>	<b>SUBJECT: Grievance Procedure For Non-Union Associates</b>
<b>APPROVED:</b>   <b>DAVID BRODSKY</b>	<b>POLICY NUMBER: VI-4</b>
	<b>PAGES: 2 of 2</b>
	<b>DATE ISSUED: 07/09/71</b>
	<b>DATE REVIEWED/REVISED: 11/08/23</b>

**STEP 3:** The Director of Employee and Labor Relations, or designee, will schedule a meeting with the Associate and appropriate management personnel following receipt of the grievance. The Director of Employee and Labor Relations, or designee, will fact find and review the entire matter and provide the Associate with a written determination, with copies to the Department Head and Senior Vice President of Human Resources.

If no mutually satisfactory settlement of the grievance results from Step 3, the Associate may present the grievance in writing, with copies to the Director of Employee and Labor Relations and Department Head, to the Senior Vice President of Human Resources.

**STEP 4:** The Director of Employee and Labor Relations, or designee, shall schedule a meeting with the Senior Vice President of Human Resources. The entire matter will then be reviewed by the Vice President of Human Resources whose determination will be final.

Depending on the circumstances of a particular matter, the Senior Vice President of Human Resources, or their designee, reserves the right to waive steps I through III and resolve the grievance as appropriate. Cases involving the discharge of an Associate are best addressed directly by Employee and Labor Relations.

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