



**OO15 – The policies and procedures that address the identification and management of problems related to incompetent, unsafe or unprofessional practice or conduct.**

**Abbreviations used in categories of policies below:**

- UVA: University of Virginia; academic entities as well as Health System
- MCP: Medical Center Policy
- HRP: Medical Center Human Resources Policy
- PCS: Patient Care Services Policy; overseen by Chief Nursing Officer

**Note:** Some exhibits address more than one category, e.g., both safety and professionalism. To minimize duplication, the summary statement notes these overlaps.

**Identifying and Managing Incompetence:**

**Screening and Training to Establish Competence**

- [Exhibit OO15.a](#): HRP 905: Healthcare Provider Licensure/Certification Policy (Obtain and maintain required licensures, certifications, registrations)
- [Exhibit OO15.b](#): HRP 210: Competency Assessment (Assessed pre-employment; at end of orientation; annually; on acquisition of new skills; and upon promotion, transfer or demotion. Manager takes action to ensure and document competency. Annual housewide mandatory competencies include core **safety** topics; disciplinary action if not completed by June 30 deadline.)
- [Exhibit OO15.c](#): HRP 205: Probationary Period (Generally six months; extensions to nine months possible for extenuating circumstances/unresolved **competency**. RN Clinician I positions have 12- to 15-month probation to meet **competency** requirements.)
- <sup>XREF</sup>[Exhibit OO13.j](#): HRP 116: Promotions, Demotions and Transfers (Must demonstrate **competency** in new position. **Safety**: Criminal record checked if >12 months since the last check.)

**Addressing Incompetence**

- [Exhibit OO15.d](#): MCP 0255: Mandatory Reporting of Healthcare Practitioners (UVA Health System process for reporting issues including **incompetent, unsafe** or **unprofessional** practice as mandated by Virginia law)
- <sup>XREF</sup>[Exhibit OO11.a](#): MCP 0280: Allied Health Professionals Practice Evaluations (Process to evaluate **safe, competent** care by privileged Allied Health professionals)



- [Exhibit OO15.e](#): HRP 105: Management Conditions of Appointment (Section D4; just cause for removal includes professional **incompetence**, unacceptable performance, unethical **conduct**, **misconduct** or appearing on “exclusion” lists)
- [Exhibit OO15.f](#): HRP 209: Performance-Management Program (**competence** as well as other types of performance monitoring)

## Identifying and Managing Unsafe Practice:

### Screening and Training to Establish Safe Practice

- [Exhibit OO15.g](#): HRP 106: Orientation of Employees (Day 1 includes expected employee **behavior**; Mandatory Online Training Modules address **safety**; Area-Specific Orientation addresses **safety**-related responsibilities and **competency** assessment documented on Orientation Competency Assessment & Evaluation Form)

### Addressing Unsafe Practice

- [Exhibit OO15.h](#): HRP 702: Fitness for Duty (confidential process when questioning **safe** performance capability, threatening **behavior**, or impairment of mental or physical condition)
- <sup>XREF</sup>[Exhibit OO13.b](#): HRP 600: Leaves of Absence (Section H.1.iii-iv, administrative leave during investigation of alleged serious misconduct or during assisted resolution for work-related issues, such as those identified through the fitness for duty or grievance processes)
- <sup>XREF</sup>[Exhibit OO12.ak](#): MCP 0213: Abuse, Neglect or Exploitation of Patients (sections E.3.d and E.3.g-.i address allegations involving staff members)
- <sup>XREF</sup>[Exhibit OO17.a](#): MCP 0132: The Quality Reporting Process (process for reporting and addressing a variance, adverse event or near-miss; Figure 1 below shows the quick-categorization icons available to staff in the reporting system, including **professional conduct** as well as numerous types of staff and patient **safety** issues)
- [Exhibit OO15.i](#): MCP 0259: Medication Management (especially Section D.8.b, committees review medication-administration-error incidents and take corrective action)
- <sup>XREF</sup>[Exhibit OO12.bl](#): MCP 0070: Patient Concerns and Grievances (process for patients and family members to express concerns, including perceived **safety** or **conduct** issues, and how the organization addresses those concerns)



OO15 Figure 1. Quality Reporting Categories Screenshot





## Identifying and Managing Unprofessional Conduct:

### Screening and Standards of Professional Conduct

- <sup>XREF</sup>Exhibit OO12.ad: MCP 0215: Employee, Volunteer and Vendor Background Screening
- Exhibit OO15.j: HRP 104: Conditions of Employment (D3, exclusion lists; D5, criminal convictions; D7 and D12, drug-free workplace)
- Exhibit OO15.k: MCP 0283: Behavioral Code of Conduct (outlines **behavioral** expectations, including the expectation to follow **safety** precautions)

### Addressing Unprofessional Conduct

- Exhibit OO15.l: HRP 701: Employee Standards of Performance and Conduct (performance issues and **misconduct** by Medical Center employees is addressed through progressive performance-improvement counseling and disciplinary actions)
- Exhibit OO15.m: MCP 0262: Standards for Professional Behavior (tiered procedures for addressing **unprofessional** or **unsafe** conduct by privileged staff – Allied Health Professionals, Clinical Staff and Graduate Medical Education Trainees – as distinct from Medical Center nurses and other employees governed by HRP 701 above)
- <sup>XREF</sup>Exhibit OO12.ci: UVA Office of Equal Opportunity Programs: Complaint Procedures (process to address discrimination or harassment)
- Exhibit OO15.n: MCP 0299: Controlled Drugs (if diversion suspected: Section V.4-5 internal investigations and Section II.B.4 notify police)