



Private Diagnostic Clinic, PLLC

PDC Employee Handbook | 2021

**Delivering the best for our patients,
physicians, and employees every day**

MISSION

Advancing Health
Together

VISION

Delivering Tomorrow's
Health Care Today

WELCOME TO THE PRIVATE DIAGNOSTIC CLINIC

Since 1931, the Private Diagnostic Clinic (PDC) has been the engine behind the delivery of high quality patient care at Duke. Now with more than 1,850 physician members and 120 specialty and primary care practices across North Carolina, the PDC remains a large and important driver of the success of Duke Health.

As a physician-led organization, the PDC knows and understands the needs of your practice. Being a part of the PDC means access to state-of-the-art technology, systems and resources to make the delivery of health care more effective and efficient.

Our team of operational, financial, human resource, legal, and administrative professionals work alongside you to ensure you have the resources you need to focus on what is most important – our patients.

Through community practices, the PDC extends the Duke Health brand and quality to more patients and communities every day. By joining the PDC community, you are part of a level of quality, an expectation of excellent service, and brand that patients know and trust.

PDC VALUES

Excellence: We strive for excellence in all we do.

Safety: We hold each other accountable to constantly improve a culture that ensures the safety and welfare of patients, families and staff.

Integrity: Our decisions, actions, and behaviors are based on honesty, trust, fairness, and the highest ethical standards.

Diversity: We embrace differences among all people.

Teamwork: We depend on each other and work well together with mutual respect to achieve common goals.

ABOUT THIS HANDBOOK

The policies, procedures and services described in the PDC Staff Handbook are applicable to those categorized as regular staff, regardless of whether they are paid a salary or an hourly wage, except where noted otherwise. This Handbook does not apply to Duke faculty, students, or employees, or staff covered by a bargaining agreement.

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NEW STAFF

Developing Staff and Supervisor Relationships:

One of the most critical components of successful performance at the PDC is the partnership between staff and supervisors. This partnership provides the underlying structure for successful working relationships. The staff-supervisor relationship relies upon the following set of requirements:

- The communication and understanding of needs and expectations.
- The ability to discuss and resolve questions and problems.
- The sharing of suggestions for improvement of work processes, individual and team performance, and service to others.

New Staff Orientation Process and Evaluation Period:

When beginning work at the PDC, staff have a 90-day orientation and evaluation period that will begin the first day of regular employment. During this time, the staff member determines if the position meets his or her expectations while that staff member's supervisor decides if the new hire has the knowledge and skills necessary to perform satisfactorily. This period is a time for frequent communication between the supervisor and staff regarding performance expectations. During this 90-day period, staff accrue vacation, sick leave, and holiday time. However, staff members are not eligible to use time off until after the 90-day orientation and evaluation period, except on designated holidays or if the severe weather/emergency conditions policy is activated.

Duke employees provided to the PDC under contract who transfer into direct PDC employment as part of, or prior to, the one-time conversion of certain Duke employees (expected to be on or around July 1, 2020) are not subject to the 90-day orientation and evaluation period. Please contact PDC human resources if you have any questions about whether or not you are subject to the 90-day orientation and evaluation period.

Online Safety Training:

As part of the PDC's commitment to a safe work environment, staff are required to complete online safety training before the end of their 90-day orientation and evaluation period. You will receive information about accessing the training information during your orientation.

Online Harassment Training:

As part of an ongoing effort to provide a safe and welcoming environment for all members of the PDC community, all staff must complete an online harassment training program every two years. The training will be accessible online.

BENEFIT OPPORTUNITIES

The PDC offers staff and their family members a comprehensive and generous package of benefits with exceptional value, including a high-quality retirement plan with generous employer contributions, medical care and dental plans, vacation leave, sick leave, paid family leave, and more. Some of these benefits, such as leave policies, are addressed in detail in this handbook. The specifics of other benefits, such as retirement plans and medical care plans are outlined in separate PDC benefits documents, which can be found online or by requesting them from PDC payroll and benefits.

Enrolling and Making Changes in Benefits

Several of the PDC's benefit programs require staff to enroll within a specified period of time or wait and make enrollment changes during the annual open enrollment period (usually in the fall). Enrollment in other benefits may occur throughout the year based upon eligibility.

Newly Eligible: 30 Days

The first opportunity to enroll in health and dental benefits is during the first 30 days of eligibility. During this 30-day period, staff should decide on health insurance. After 30 days, the next opportunity to enroll or make changes will be during the annual open enrollment period or after a qualifying life event.

Qualifying Life Events: 30 Days

If staff experience a qualifying life event, they may enroll or make changes to some of their PDC benefits within 30 days of the event. Any change must be consistent with the qualifying event, such as adding a dependent to medical insurance coverage following the birth of a child. Qualifying events include such things as:

- Marriage or divorce
- Birth or adoption (or placement) of a child
- Death of a covered dependent
- Loss or gain of eligibility for insurance coverage for staff or a covered dependent (loss of student insurance or individual policy does not qualify)
- Change in spouse's employment status
- Change in medical insurance eligibility due to a relocation of residence or workplace

If staff experience a qualifying event, they must notify PDC Benefits at 919 684 4358 or by visiting PDC benefits at 4825 Creekstone Drive, Durham, NC 27703 and provide documentation within 30 days of the event to update benefit enrollments. Staff will need to present documentation, such as birth, marriage, or death certificate, or divorce decree.

EMPLOYEE TUITION ASSISTANCE PROGRAM

The PDC offers an Employee Tuition Assistance Program that provides reimbursement of tuition for classes taken at any higher educational institution accredited by the Southern Association of Colleges and Schools with a physical presence in North Carolina. The purpose of the program is to encourage and increase professional development opportunities for staff and provide reimbursement of tuition for classes at higher educational institutions to obtain an undergraduate or graduate degree.

This program provides reimbursement of tuition for a maximum of three classes per semester or quarter (limit nine classes per calendar year) up to \$5,250 per calendar year for full-time employees with at least two years of continuous full-time service. Employees can contact PDC benefits for more details about this policy including information about eligibility.

TIME AWAY FROM PDC

PDC Staff can take time away from work for a variety of reasons including personal, family, community, as well as other non-work related interests and obligations. Staff members can use accrued time off at their discretion, but must be scheduled and approved in advance by their supervisors.

PDC staff accrue vacation, holiday, and sick time. PDC staff in regular positions working at least 20 hours per week on a 12-month basis accrue vacation from the first day of employment. Accrued vacation and discretionary holidays may be used after the first 90 days of employment. Duke employees provided to the PDC under contract who transfer into direct PDC employment as part of, or prior to, the one-time conversion of certain Duke employees (expected to be on or around July 1, 2020) are not subject to the 90-day period and may begin taking accrued time off immediately. Please contact PDC human resources if you have any questions about whether or not you are subject to the 90-day period.

The PDC reserves the right to alter or amend the time away policies as it deems necessary.

Vacation

Vacation accrual rates increase based on length of service. The maximum accrued balance is two times the annual accumulation. Staff who work on an abbreviated schedule of at least 20 hours per week will earn vacation on a pro-rated basis.

- Hourly paid positions with less than four years of service can accrue up to 10 days of vacation per year. Vacation accrual increases up to 15 days per year after four years of service and up to 20 days per year after nine years of service. Vacation time is accrued each biweekly pay period based on hours worked at the regular rate of pay.
- Monthly-salaried positions can accrue up to 15 days of vacation per year during their first three years of employment. This accrual rate increases to 20 days per year after three years of service. Vacation time is accrued each monthly pay period.

Eligible PDC staff working at least 20 hours per week will receive 13 paid holidays per year. Some of those holidays are designated holidays, and others are discretionary holidays.

DISCRETIONARY HOLIDAYS: PDC staff working on the first day of the month qualify to earn one discretionary holiday in the following months (while discretionary holidays may be taken any time during the year, they are not accrued vacation days, they do not accumulate year-to-year, and the PDC does not pay departing employees for unused discretionary holidays – additionally, some clinics may identify specific days when some discretionary holidays will be taken):

DESIGNATED HOLIDAYS:		DISCRETIONARY HOLIDAYS:	
New Year's Day	Labor Day	PDC staff working on the first day of the month qualify to earn a discretionary holiday for the following months:	
Martin Luther King Jr. Day	Thanksgiving		
Memorial Day	Christmas Day		
Independence Day			
		February	June
		March	August
		April	October

Sick Leave for PDC Staff

The PDC provides accrual of up to 12 sick days per year with pay for personal illness or to care for immediate family members who are sick. Unused sick leave may be accumulated without limit for use during employment. There is no reimbursement of unused sick leave upon termination.

Bereavement Leave for PDC Staff

Staff in exempt positions must use accrued sick leave or vacation leave for matters related to family death, and they do not qualify for additional bereavement leave. Exempt staff may also request additional unpaid time-off from their supervisor who will try to accommodate reasonable requests.

The PDC provides up to three to five days off with pay to staff in non-exempt positions to handle matters related to family death. The amount of time is based on the relationship to the family member as follows.

- Bereavement Leave for the death of immediate family members (spouse, child/stepchild, parent/stepparent, sibling/stepsibling): the PDC provides paid leave to non-exempt employees for any missed workdays during a five consecutive calendar day period as long as one of the days includes the day after death or the day of the funeral.
- Bereavement Leave for the death of other close family members (grandparent, great-grandparent, grandchild, parent-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, or uncle/aunt): the PDC provides paid leave to non-exempt employees for any missed workdays during a three consecutive calendar day period as long as one of the days includes the day after death or the day of the funeral.

Should additional time be necessary for a staff member to attend a funeral, employees may request such additional time either as vacation or authorized time off without pay. Such requests should be arranged with the staff member's supervisor who will try to accommodate the request.

Availability for Work Guidelines

PDC units and clinics should establish guidelines for attendance, tardiness, scheduled and unscheduled time off, and the requisite notification procedures for requesting time off. These procedures should be communicated regularly with all staff.

All supervisors are responsible for approving time off, and both supervisors and staff are expected to work together to schedule periods of leave from the PDC. If a staff member is unable to report to work because of an illness or other causes, he or she must notify their supervisor well ahead of the scheduled start time according to department or clinic notification procedures. Staff should inform their supervisor prior to an expected absence or tardiness.

Maintenance of Time-Off Records

Clinics and units at the PDC are responsible for ensuring that all work time is recorded and reported accurately through the appropriate time recording and reporting systems.

Leave for Parent Involvement in Schools

In recognition that parent involvement is an essential component of a student's success, and in accordance with North Carolina law, the PDC provides four hours per year of unpaid leave to any staff who is a parent, guardian, or person standing in loco parentis of a school-aged child so that they may attend or otherwise be involved in that child's school. The leave must be during a mutually agreed upon time between the supervisor and staff.

Jury Duty or Subpoenaed Appearance

Upon the receipt of a jury duty summons, staff must provide a supervisor with a copy of the document requesting the summons and also arrange for the necessary scheduled time off with pay. The court issuing this summons will provide the juror with "proof of service" that staff must provide to the supervisor upon returning to work.

Voting Absences

Voting locations provide generous hours of access both before and after work. If time away from work is necessary to vote in any election (municipal, state, or federal), staff must use accrued vacation for time away from work. This time off must be approved in advanced by the individual's supervisor.

Paid Parental Leave

In order to assist and support new parents with balancing work and family, the PDC offers Paid Parental Leave. This policy provides eligible employees with a period of paid time off for the care of a newborn or newly adopted child.

The PDC provides up to six consecutive weeks of 100% paid parental leave to eligible parents following the birth or adoption of a child. Employees are compensated during the leave according to their base pay and regularly scheduled hours. Payment for Paid Parental Leave will be issued on regular payroll dates.

Employees must be employed on a full-time basis by the PDC for one year in order to be eligible for Paid Parental Leave (employment by Duke University provided to the PDC under contract counts for calculating the year of service for this benefit; however, employees must be employed directly by the PDC at the time of application and at the time reimbursement is made).

Policy Details:

Definitions

An **eligible parent** is defined as a biological parent, same-sex spousal equivalent, or a new adoptive parent. An individual who adopts a spouse's or partner's child(ren) is not eligible for this benefit.

Eligibility

PDC employees who are eligible parents and work 30 or more hours per week and who have been consecutively employed and worked at least 1,250 hours during the twelve (12) month period immediately preceding the proposed leave are eligible to apply for the Paid Parental Leave. The eligibility requirements must be met as of the last day worked prior to the start of the paid leave.

An eligible parent must take Paid Parental Leave during a consecutive 6-week period within the first 12 weeks following the birth or adoption of a child.

This PDC Employee Paid Parental Leave Policy does not apply to PDC members.

Application

To apply for Paid Parental Leave:

1. Complete a Paid Parental Leave Request
2. Complete an application for Leave of Absence Request form.

To ensure accurate and timely payment, the employee is responsible for submitting all of these forms at least 30 days in advance of the first day of leave. The Paid Parental Leave will run concurrently with any associated Family Medical Leave.

Family Medical Leave

Employee Family Medical Leave (FMLA) is for eligible employees to care for their own illness, injury, maternity, or paternity leave. This leave provides eligible employees 12 weeks of leave in a 12-month rolling calendar period. Employees who would like to request FMLA leave should complete the following process.

- **Step 1: Employee completes LOA and HCP Forms**
The employee must complete a Request for Leave of Absence form and have a Health Care Provider (HCP) form completed by the certifying HCP. Those forms should be returned to the employee's manager. In special circumstances, the HCP form can be delivered directly to Occupational Health.
- **Step 2: Eligibility Requirements**
The employee's department or clinic, in consultation with human resources, determines if the employee is eligible for FMLA. To be eligible, employees must have worked for the PDC for 1 year and 1,250 hours in the previous 12 months.
- **Step 3: Manager obtains paperwork from staff member and reviews for completeness**
The employee's manager will review the submitted forms for completeness and confirm the duration of the requested leave.
The employee will have at least 15 days from the date of the request to submit the HCP Certification. If any of the submitted information is insufficient the employee will have at least an additional 7 calendar days to cure any deficiency.
- The PDC may request recertification of FMLA leave every 6 months or at any time the employee requests an extension, circumstances of the existing certification change, or the PDC receives information casting doubt on the stated reasons for an absence or the continuing validity of the last certification. Employees will have at least 15 days to submit recertification forms if requested.

- Step 3a: Employee goes directly to Occupational Health for Confidentiality Purposes**

If employees choose to submit the HCP form directly to Occupational Health instead of to his/her manager, the employee must submit the Request for Leave form to the manager, who will determine eligibility for FMLA. The manager will provide the staff member with the Notice of Eligibility and Rights and Responsibilities within 5 business days of when the employee submitted the request.

If the employee is eligible based on time and hours worked, then Occupational Health will review the HCP Certification form for FMLA eligibility.
- Step 4: Notice of Eligibility and Rights and Responsibilities**

Regardless of whether the employee does or does not meet FMLA requirements, the department or clinic representative will provide a Notice of Eligibility of Rights and Responsibilities to the employee within 5 business days of when the employee submitted complete FMLA paperwork.

If the employee is eligible, then the department manager forwards all applicable forms (Leave Request form, HCP Certification form, and Notice of Eligibility and Rights form) to occupational health and to PDC human resources.

If the employee is deemed not eligible based on FMLA requirements, then the department will provide a Designation Notice indicating the reasons the employee is not eligible (i.e. did not work 1250 hours in the last 12 months and/or the employee has not worked at the PDC for 1 year).
- Step 5: Occupational Health will determine if absence is an FMLA qualifying event and provide a determination form**

Occupational Health will review the applicable documents and provide a Determination Form to the department and the employee via email within 1-2 days. The form will indicate whether the medical request is a qualifying event or not.
- Step 6: Occupational Health will determine how FMLA will be taken – consecutive or intermittent or both**

The way in which FMLA is taken will depend on the medical guidance provided by the staff member's health provider and, if necessary, confirmed by Occupational Health.

Eligible staff members may take up to 12 consecutive weeks (the staff member's normal work week) or 480 hours of unpaid FMLA leave in a rolling 12-month period. Eligible FMLA hours are prorated based on a regular work schedule.

Employees may also qualify for intermittent leave which is leave taken in separate blocks of time due to a single qualifying reason. If leave is intermittent, the department or clinic tracks the number of hours used in a 12 month rolling period. If intermittent leave is disruptive to operations, management, in consultation with human resources, may temporarily transfer the staff member to an alternate position for which the staff member is qualified and receives equal pay and benefits.
- Step 7: Designation Notice (manager will provide to employee within 5 days of completed Health Care Provider Certification being submitted)**

Once Occupational Health provides the Determination Form, the department or clinic representative and employee will discuss the Determination Form. The department or clinic will then provide the employee with a Designation Notice form indicating the appropriate outcome. The department or clinic payroll representative will then notify PDC payroll of the FMLA leave designations.
- Step 8: Record Keeping**

Managers keep all FMLA documentation in a SECURE and CONFIDENTIAL location and NOT in personnel files. FLMA information is never shared beyond "need to know" management.
- Step 9: Returning from Leave**

If an employee is out on continuous leave for birth of a child or the employee's own serious health condition, the employee must provide a "release to work" notification from the employee's health care provider if the end date is modified.

Military Leave

The PDC provides military leaves of absence to regular and benefits eligible employees in accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA) and applicable North Carolina laws that protect individuals with military commitments. Military leaves of absence may be paid or unpaid in accordance with the provisions of this policy.

Uniformed service under this policy includes active duty, active duty for training, inactive duty training, initial active duty training, and funeral honors duty, as well as the period for which an employee is absent from PDC employment for the purposes of an examination to determine fitness to perform any such duty.

The PDC also provides military caregiver leave which allows staff to take FMLA leave to care for a spouse, son or daughter, parent, or next of kin who is a member of the Regular Armed Forces, National Guard, or Reserves and who has incurred serious injury or illness in the line of duty while on active duty status.

Military exigency leave is available to staff who have a spouse, son or daughter, or parent in the National Guard or Reserves to take FMLA leave due to a qualifying exigency resulting from the family member's active duty (or call to active duty status) in support of a contingency operation.

Personal Leaves of Absence

The PDC offers personal leaves of absence in special circumstances such as assisting staff with educational pursuits, pregnancies, illnesses, or situations where family medical leave is not available. Requests for personal leaves of absence should be directed to an employee's manager who will review such requests with human resources on a case by case basis.

JOB DESCRIPTIONS AND CLASSIFICATIONS, WORK SCHEDULES AND RECORDING TIME

The PDC administers compensation policies and programs that support competitive and equitable pay based on like duties and responsibilities, comparability of backgrounds, performance contributions, and available resources.

The PDC's pay administration policies, plans, and programs are administered without regard to race, gender identity, ethnicity, religion, national origin, veteran status, sexual orientation, disability, or age.

Job Descriptions

Job descriptions exist for all regular staff positions and summarize typical duties and responsibilities as well as minimum hiring qualifications, including required education, experience level(s), and licensure(s)/certification(s).

Fair Labor Standards Act (FLSA) – Exempt and Non-Exempt Designations

Under the Department of Labor, Wage and Hour Division, the FLSA establishes provisions and standards to determine federal minimum wage, overtime pay, hours worked, record-keeping plans, and child-labor provisions. Jobs at the PDC are either classified as “exempt” or “non-exempt” work as defined by FLSA regulations. If the salary basis test requirement is met or exceeded, the FLSA regulations may provide an exemption from overtime pay for staff employed as a bona fide executive, administrative, professional, and/or outside sales staff.

Non-Exempt Status

The PDC is required by federal law to pay a regular hourly wage to staff performing non-exempt work. The PDC is also required to pay staff performing non-exempt work for all hours worked beyond 40 hours in a workweek at the rate of one-and-a-half times their regular hourly wage.

Exempt Status

Staff performing exempt work are not covered by the overtime pay provisions of the FLSA and are not eligible to receive overtime pay for hours worked beyond 40 hours in a workweek.

Staff performing exempt work are paid on a salary basis and receive a predetermined amount of pay each pay period. Staff in exempt positions receive the full salary for any workweek in which they perform any work – regardless of the number of days or hours worked in the case of approved absences.

Hours Worked That Are Considered “Paid Time”

All time during which staff perform non-exempt work or when staff are required or permitted to work is considered hours worked or “work time.” Ordinarily, all hours from the beginning to the end of the work day are considered as work time. However, periods when staff are fully relieved of all work duties – such as during meal periods – are not considered work time. Non-exempt staff should only work overtime hours (more than 40 hours in a work week) when that work has been requested and approved by a supervisor in advance.

Meal Periods

When staff performing non-exempt work are scheduled for a full day of service, an unpaid meal period of at least 30 minutes should be scheduled.

Breaks

Break periods are not required by the Fair Labor Standards Act (FLSA). However, as operational requirements permit and working conditions warrant, a 15-minute paid break is encouraged during any work period of four consecutive hours. Break periods enhance productivity by providing opportunities for staff to refresh and refocus.

Merit Increase Guidelines for New Hires

PDC supervisors are guided by the following protocols in determining pay increases for new hires:

- New staff hired prior to January 1 are eligible to receive 100 percent of the earned merit increase in July of that year based on the applicable fiscal year guidelines and designated performance.
- New staff hired during the period from January 1 to March 31 are eligible to receive 50 percent of the earned merit increase based on the applicable fiscal year guidelines and designated performance.
- New staff hired during the period from April 1 to June 30 are not eligible for a merit increase until the following evaluation period.

Merit Increases

PDC is committed to linking the opportunity for annual pay increases to staff performance during the year.

The opportunity for an annual merit increase is based on an individual's annual performance evaluation and annually approved guidelines. Merit increases are effective in July.

PAYROLL PRACTICES

PDC Payroll is responsible for the timely and accurate payment of salaries and wages and for the processing of all of the PDC's payroll disbursements and related deductions. With a sizable workforce, it is necessary that strict regulation of the payroll process – through reporting deadlines, maintenance of records, and compliance with federal, state, and PDC-specific regulations – be maintained in order to process paychecks in a timely and accurate fashion.

Biweekly Pay Periods

The biweekly pay period begins at 12:01 a.m. on Monday and runs 14 consecutive workdays, ending at 12:00 midnight the second following Sunday. Staff in hourly-paid positions are paid biweekly (every other Friday), based upon that year's payroll schedule. When a payday falls on a holiday, paychecks will be issued on the preceding workday.

Monthly Pay Periods

The monthly pay period begins on the first calendar day of the month and ends on the last calendar day of that month. Staff in monthly-paid positions are paid on the 25th of each month of employment, or on the last regular weekday preceding the 25th, if that day of the month falls on a Saturday, Sunday, or bank holiday.

Direct Deposit

Staff should use direct deposit of paychecks because of the many advantages it offers. Direct deposit provides the convenience of having a paycheck electronically deposited into a checking or savings account on payday. In addition to being convenient and saving time, direct deposit is also a more reliable way of receiving pay. Staff can enroll for direct deposit by completing the Direct Deposit Authorization Agreement and submitting it with a voided check from their financial institution to PDC Payroll.

Lost/Stolen Paycheck Corrections

One of the reasons direct deposit is strongly encouraged is because checks that are physically lost or stolen can significantly delay the delivery of pay to staff. If a paycheck is lost or stolen, staff should contact their supervisor and PDC payroll immediately. Employees should instruct PDC payroll to stop payment on the lost or stolen check. After the financial institution has notified PDC payroll that payment of the check has been stopped, PDC payroll can issue a new check within five to seven business days.

In the event of an error in payment, staff should contact their supervisor as soon as possible. Supervisors will then contact the payroll office and send the necessary paperwork to correct the matter. When PDC payroll receives the correction, the office will determine how the error is to be corrected – either through a manually created paycheck or in the individual's subsequent paycheck. Any questions concerning how or when corrections will be made should be directed to the payroll representative.

Garnishment and Bankruptcy

The PDC is obligated by federal and state law to deduct or garnish wages from staff paychecks when child support, unpaid student loans, bankruptcy collection, or unpaid taxes are owed and/or overdue. Deductions from staff wages occur when PDC payroll receives a “summons and levy in garnishment” or a “wage earner plan” from federal or state institutions.

Garnishments remain active until PDC payroll receives a release or amendment of these federal and state decrees. The PDC does not refund any incorrectly deducted funds due to requisite garnishments. Instead, staff must request refunds from the agency directly authorizing the deduction.

Taxability of Awards and Gifts

The PDC may provide gifts, rewards, or awards to staff for work-related achievements and/or recognition, making special contributions and achieving major milestones such as years of service, promotion, departure, or retirement. The expense for such gifts or awards must follow prescribed accounting and procurement procedures.

The internal Revenue Service classifies many awards to staff as taxable income subject to W-2 reporting and tax withholding. All monetary awards/gifts and cash equivalents, such as gift certificates and cards, are subject to personal income tax. Either the recipient or their employing entity must cover the tax liability. All recognition awards/gifts must be approved in advance by a manager.

Definitions of “Work”

The PDC uses the following terms to set employment expectations:

- **Work Schedule:** The PDC’s “work schedule” is defined as the many functions that PDC employees must perform or fulfill 24-hours-a-day, seven days a week. The majority of work schedules are based on an 8-hour, 10-hour, or 12-hour workday; on a 40-hour workweek; or through an 80-hour biweekly pay period. Supervisors arrange staff work schedules when staff begin their service at the PDC. Supervisors must provide staff with 30-days-notice before permanently changing existing schedules.
- **Workweek:** The PDC’s “workweek” is the seven consecutive 24-hour periods or workdays beginning at 12:01 a.m. on a Monday and ending at 12:00 midnight on the following Sunday.

Recording and Reporting Hours Worked:

Staff in hourly-paid positions are required to accurately report time worked on a daily basis using the PDC’s electronic time and attendance system. When staff submit time worked, they are attesting that such information is accurate.

Staff in exempt positions are required to report time off hours on a monthly basis using the electronic time-off reporting system or the time and attendance system.

WORKPLACE EXPECTATIONS AND GUIDELINES

Successful job performance depends upon a host of factors including – first and foremost – a clear and full understanding of and commitment to job performance expectations. Following both PDC and department specific policies and procedures will enable staff to achieve expected performance.

Supervisors and staff are encouraged to take advantage of the many resources available to support successful work performance. The PDC also expects staff and supervisors to understand and adhere to the following performance procedures, plans and standards:

- Follow the New Staff Orientation Process – the protocol designed to ensure the successful introduction of new staff to organizational, department and job-specific expectations.
- Conduct a full review and discussion of the PDC Staff Handbook. Staff should electronically acknowledge access to and receipt of the Handbook or sign an Acknowledgement of Receipt and return the receipt to their supervisor to be kept in their department personnel file. Provide a full review and discussion of responsibilities and requirements, including mandatory training where applicable to ensure compliance with laws, regulations, and policies.
- Conduct a full review and discussion of responsibilities and requirements, including mandatory training where applicable to ensure compliance with laws, regulations and policies. Conduct regular discussions between supervisors and staff in regard to performance progress and future expectations.
- Conduct a formal review and discussion of specific department and/or unit performance expectations.
- Conduct regular discussions between supervisors and staff in regard to performance progress and future expectations.
- Conduct discussions at least once a year of overall staff performance, future expectations and goals.

PDC's Standards of Conduct and Performance

PDC holds a strong commitment to high ethical standards and full compliance with laws, regulations and policies. Staff are expected to perform job duties and responsibilities in a manner that reflects the highest ethical and professional standards.

Performance and Work-Related Behavior Counseling

When staff are not meeting workplace expectations, supervisors have the responsibility to counsel and coach them. Supervisors are also expected to provide corrective action in such situations and document these corrective action processes. In some instances, a “Performance Improvement Plan” may be initiated to assist supervisors and staff in addressing and resolving performance problems.

When considering corrective action, supervisors should consult with a representative of the PDC's Staff and Labor Relations.

Corrective-Action Protocols

The PDC has designed corrective-action protocols to identify and correct problems or behaviors that affect the work performance of staff. In most cases, supervisors should develop a performance improvement plan to help staff identify and improve performance problems. While in most cases all of the steps for corrective action will be handled consistently across all clinics and departments, the PDC reserves the right to combine or skip steps in the corrective action process depending on the facts and nature of each situation. However, no corrective action should be taken by supervisors without consultation with PDC Human Resources. Any deviation from the PDC's corrective action process must be expressly approved by both PDC Human Resources and the PDC legal department. Nothing in this policy provides any contractual rights regarding employee discipline, and nothing in this policy alters the employee-at-will relationship between the PDC and its employees.

PDC’s “corrective action” processes include the following actions:

- **Written Warning** – documents discussions between a supervisor and a staff member who fails to meet performance expectations. Under most circumstances, written warnings occur before more progressive corrective actions are undertaken by supervisors.
- **Final Written Warning and Possible Suspension** – documents discussions between a supervisor and staff member who continues to fail to meet performance expectations after receiving a written warning. There may be situations where a Final Written Warning is issued absent a Written Warning. Under some circumstances a final written warning may include a suspension which provides for removing a staff member from the workplace for serious misconduct. Before a staff member is suspended, the supervisor must consult with PDC Human Resources to discuss the circumstances.
- **Termination** – occurs after written warnings are issued to staff who continue to fail to meet performance expectations. Terminations must be reviewed by PDC Human Resources prior to a final dismissal.

Expectations of Conduct and Performance

PDC intends its corrective-action policies and procedures to be progressive. The following guidelines are provided as examples to assist supervisors and staff in understanding expected conduct and performance, as well as typical (not required) corrective actions. These guidelines are examples and not designed to be comprehensive or to limit the corrective action procedures available to PDC human resources. The PDC also reserves the right to effect immediate termination, if such action is deemed necessary.

Category	Expected Conduct and Performance	SUGGESTED CORRECTIVE ACTION STEPS FOR FIRST TIME FAILURE TO MEET EXPECTED CONDUCT OR PERFORMANCE (MORE THAN ONE ACTION MAY BE SUGGESTED DEPENDING ON CIRCUMSTANCES)		
		Written warning	Final written warning &/or suspension	Termination
PERFORMANCE AND WORK REQUESTS AND ASSIGNMENTS	Perform assigned tasks safely, competently and according to performance and behavioral expectations of the department/work unit.	x		
	Successfully perform assigned job duties consistent with standards – both specifically part of the job description and other duties related to the job (as assigned by a supervisor).	x		
	Cooperate and collaborate with supervisors and coworkers in performing assignments and service requests.	x	x	
COMPLIANCE WITH LAWS, POLICIES AND PROCEDURES	Comply with all PDC, unit and department policies and procedures (i.e. administrative, human resources, clinical, financial, and safety policies and procedures).	x	x	x
	Disclose possible conflicts of interest and/or conflicts of workplace commitment.	x	x	
	Ensure and protect the confidentiality of sensitive information (oral, written, or electronic). Confidential information should not be repeated, discussed, or removed from the work area except for legitimate and authorized work reasons.	x	x	x

Category	Expected Conduct and Performance	Suggested Corrective Action Steps for Failure to Meet Expected Conduct and/or Performance		
		Written warning	Final written warning / suspension	Termination
COMPLIANCE WITH LAWS, POLICIES AND PROCEDURES	Comply with all federal, state, and local standards and laws regulating the provision of professional services (licensure and scope of practice).			X
	Behave with honesty and integrity in all employment actions, including the maintenance and completion of records and the accurate recording of time worked.			X
ATTENDANCE AND AVAILABILITY FOR WORK	Attend work as scheduled – that is, arrive on time fully prepared to begin work and remain at work through the entire work period and request authorization according to established department procedures if there is a need to leave the workplace.	X	X	X
	Notify supervisor well in advance of any unscheduled absence in accordance with department/clinic notification procedures.	X		
	Being absent without notice for three consecutive workdays constitutes voluntary resignation.			X
SAFETY AND USE OF PDC PROPERTY	Use and safeguard the property of others and of the PDC through proper authorized use.	X		
	legitimate work purposes (telephones, email, facsimile machines, computers, printers, copiers, cell phones, tools, vehicles, furniture, and other work-related equipment).		X	
TEAMWORK AND WORKPLACE BEHAVIOR – THE MAINTENANCE OF APPROPRIATE WORKPLACE BEHAVIOR THAT FOSTERS COLLABORATION, CUSTOMER SERVICE AND TEAMWORK	Use respectful, courteous, and helpful language when communicating with supervisors, co-workers, and patients. Loud, boisterous, and intimidating language will be a violation of accepted workplace standards and is not appropriate.	X		
	Adhere to and comply with PDC and department specific safety policies and training requirements. Identify safety issues and report all hazards, incidents, and safety concerns on a timely basis.	X	X	X
	Be productive and use all available time to accomplish expected work tasks – personal business should be accomplished outside of work time and/or during scheduled time off.	X		
	Dress for work according to the department’s Dress for work according to the department’s/clinic’s workplace attire guidelines – including the appropriate display of identification badge.	X		
	Disruptive, discourteous and/or insubordinate conduct will not be tolerated.		X	X

Category	Expected Conduct and Performance	Suggested Corrective Action Steps for Failure to Meet Expected Conduct and/or Performance		
		Written warning	Final written warning / suspension	Termination
TEAMWORK AND WORKPLACE BEHAVIOR – THE MAINTENANCE OF APPROPRIATE WORKPLACE BEHAVIOR THAT FOSTERS COLLABORATION, CUSTOMER SERVICE AND TEAMWORK	Acting inappropriately such as using profane, suggestive or abusive language is a violation of accepted workplace standards and will not be tolerated.		X	X
	Acting inappropriately such as sleeping on the job or working under the influence of impermissible drugs or alcohol is a violation of accepted workplace standards.		X	X
	Acting inappropriately such as fraud, theft, abuse, threats, harassment, illegal activities, or possessing a weapon is a gross violation of accepted workplace standards and will be grounds for immediate termination.			X
	Conduct that causes or threatens harm to others or that constitutes persistent, unwanted behaviors will not be tolerated and will be grounds for immediate termination.			X

Workplace Attire

Workplace attire must be neat, clean, and appropriate to the work being performed in the setting in which work is performed. Supervisors should determine and communicate appropriate workplace attire for their staff, uniforms may be required for certain positions.

PDC Computer, Network, and Communication Systems

The PDC makes available computing and networking resources – including computer hardware and software, computer-based files and data, and all networks including the Internet – to authorized users for purposes consistent with the PDC’s mission, goals and objectives.

Social Media Policy

The PDC encourages employees to act with professionalism at all times, whether in person, on the internet, or otherwise. The following are the PDC’s guidelines for employees who participate in social media, which includes Facebook, LinkedIn, Twitter, personal blogs, or other similar websites or online tools. These guidelines apply whether employees are posting to their own sites or commenting on other sites.

- If you include your affiliation with the PDC on any website, online comment, or post, all of your conduct should be consistent with the PDC’s standards and expectations. Additionally, you should include a disclaimer indicating that the views expressed do not reflect the views of the PDC.
- Be professional and use good judgement in your communications. Be respectful to fellow employees, competitors, and patients and refrain from obscene, defamatory, profane, libelous, threatening, harassing, abusive, or disparaging language. Such communications may violate other PDC policies even when posted on personal sites.
- Do not participate in personal social media during working hours and ensure that it does not interfere with work duties.
- Follow all applicable PDC policies. For example, you must not share confidential PDC information and you are required to maintain patient privacy at all times. Any conduct that would be a violation of a PDC policy offline and not on the internet is also a violation of PDC policy if it occurs online.

Any PDC employee that violates this policy may be subject to corrective action. Nothing in this policy is intended to prohibit or discourage any employee from engaging in concerted activity protected by law. Employees who have concerns about inappropriate behavior related to online activity should contact their supervisor and/or PDC human resources.

Confidentiality Agreement

Many PDC staff have access to proprietary and/or confidential information. Any such information – whether it be verbal, written, faxed, photographic, or electronic – should be maintained in such a way that its privacy and safety are ensured. Furthermore, work-related and/or patient information should not be discussed in open areas such as hallways, elevators, lobbies, break rooms, cafeterias, etc. All staff must sign the PDC Confidentiality Agreement. A copy of this signed document must be retained in the individual’s department file.

Reporting Concerns Related to Compliance or Fraud

It is the responsibility of all PDC staff to bring potential compliance concerns or violations to the attention of management so that they can be properly addressed. These issues should be reported immediately using any of the following means:

- Report directly to a supervisor, business manager, department head, or director.
- Report to the subject-specific compliance office which deals with the issue involved.
- Contact the Compliance Office. The OARC can be reached by phone at 919-613-7630 or via email at OARC@duke.edu.
- The Compliance Office will coordinate with the appropriate compliance officer(s) and operational units to address all concerns raised.
- Call the PDC Compliance and Fraud Hotline at 1-800-849-9793 or the PDC Medicine Integrity Line at 1-800-826-8109 to anonymously report any concern. This outside service will refer any issues reported to the Compliance Office for action and will maintain the anonymity of the caller unless the caller agrees to be contacted directly.

All concerns reported to the PDC compliance offices are taken seriously and will be reviewed to determine the appropriate course of action. The confidentiality of individuals assisting the PDC by providing contact information will be protected. PDC policy, and in many cases federal law, protects individuals bringing such concerns forward in good faith from any retaliation and/or retribution.

The PDC also requires that its staff, medical staff, and contractors promptly report situations in which they suspect violations of the PDC Code of Conduct, other policies or procedures or federal or state laws such as the Federal False Claims Act. It is a violation of the Federal False Claims Act to knowingly submit, or cause another person or entity to submit, false claims for payment of government funds. Staff, medical staff, and contractors who suspect a violation of the False Claims Act or any other federal or state law, the PDC Compliance Program, the PDC Code of Conduct, or other policies or procedures are required to promptly report the situation using any of the following:

- Report directly to a supervisor, a department head or chair, or to the PDC Chief Compliance Officer.
- Call the toll-free Compliance Program Integrity Line (1-800-826-8109).
- Email the DUHS Compliance office at compliance@mc.duke.edu.

Non-Solicitation Guidelines

For reasons of safety and privacy, staff are prohibited from soliciting for any outside activity or organization during work time unless the solicitation is approved by the PDC and is in accordance with the requirements and restrictions of this policy. The PDC defines solicitation as including verbal or written communication, raffle tickets, for-sale merchandise, e-mail distributions, circulars, handbills, or other kinds of literature. Furthermore, staff should not use PDC computers or communication systems and materials – including inter-department mail, telephone, fax, supplies, or other related workplace equipment – for any purposes not directly related to workplace business and/or activities without the expressed approval of a supervisor. Additionally, staff should not use PDC email systems during work time for any purpose not directly related to workplace business and/or activities without the expressed approval of a supervisor.

Arrest and/or Conviction of Staff

REPORTING ARRESTS OR CONVICTIONS TO PDC

If a staff member is arrested or convicted of a misdemeanor or felony while employed at the PDC, he or she must inform a supervisor of the arrest or conviction no later than seven calendar days after the incident. Failure to inform a supervisor within this period may result in corrective action.

ARRESTS OF STAFF

The arrest of any staff – whether on or off PDC grounds – may also result in corrective action by the PDC. Corrective action depends upon a review of all factors involved in the arrest. These factors may include but are not limited to the following concerns:

- Determination of whether or not the staff member's illegal action was work-related.
- Consideration of the nature and severity of the illegal activity.
- Determination of whether or not the circumstances resulting from the act will adversely affect a staff member's work attendance.

CRIMINAL CONVICTIONS OF STAFF

If a staff member is convicted of a criminal offense while employed by the PDC, he or she may be terminated and – if terminated – is ineligible for rehire. Termination will depend upon the nature of the offense and on the staff member's workplace duties. All actions taken under this policy must be made in consultation with the department or clinic employing the convicted staff member and with PDC Human Resources.

CRIMINAL DRUG CONVICTION

Staff convicted of violating any criminal drug statute while working at the PDC must inform a supervisor within seven calendar days of the conviction(s) – including both guilty pleas and nolo contendere convictions. Failure to inform a supervisor of such convictions is cause for corrective actions, including termination for a first offense. As an alternative to termination, the PDC reserves the right to require staff convicted of criminal drug statute violations to participate in approved substance-abuse treatment programs.

SEVERE WEATHER AND EMERGENCY CONDITIONS

The PDC must maintain essential services and operations during severe weather and emergency conditions. Essential services include maintaining hospital/clinic operations, operating research facilities, and providing necessary support and administrative services.

All PDC staff perform important services and work, and during extraordinary times of severe weather or emergency conditions, some department require the on-site presence of many of our staff to continue the operation of patient care and research functioning. To ensure continuous operations during these conditions, all jobs are categorized into one of three service levels: Essential Service, Reserved Service, and Delayed Service. During the orientation and evaluation period, supervisors should designate a service level for all new staff, review the department's or unit's plan for severe weather and emergency conditions, and explain work expectations based on the assigned designation.

Annually thereafter, the supervisor will review the department's or unit's Severe Weather and Emergency Conditions Plan and reconfirm service levels with all staff.

VOLUNTARY RESIGNATIONS OR RETIREMENTS

In order for staff to leave the PDC in good standing, they must give written notice of resignation or retirement as follows:

- Staff in hourly-paid positions are required to give two-weeks-notice.
- Registered nurses performing either non-exempt or exempt work are required to give 90-day notice.
- Staff in salaried positions are required to give 30-day notice.

Staff who do not provide sufficient notice are not recommended for rehire. However, supervisors can choose to waive the notice period.

INVOLUNTARY TERMINATIONS

After appropriate counseling and corrective action, staff unable to meet the established standards of performance and conduct for their positions may be terminated. Involuntary termination requires prior review and approval by the staff member's primary clinic/department and Human Resources. The termination process must be fully and properly documented.

ELIGIBILITY FOR REHIRE

Staff who leave the PDC in good standing (break in service from a regular position due to resignation, layoff or discharge) and later wish to return are eligible for consideration for rehire. Previous staff who are rehired will not be given credit for prior service for purposes of continuous service date, paid time off (including PTO, vacation, and sick leave) or eligibility and other pertinent benefits – unless they left PDC in 12 months preceding rehire through layoff status.

CONSULTATION BEFORE DETERMINING NOT ELIGIBLE FOR REHIRE OR NOT RECOMMENDED FOR REHIRE

Supervisors must confer with Human Resources and a Staff and Labor Relations before determining a "Not Eligible for Rehire" or a "Not Recommended for Rehire" decision. Once agreement has been reached, the supervisor must document and share the decision with the staff member.

VERIFICATION OF REHIRE STATUS

Human Resources will verify eligibility for rehire before activating a candidate's application. The hiring supervisor will be advised of the former staff member's eligibility for rehire and the requirement to check references, including contacting the previous PDC supervisor before extending an offer of rehire.

REDUCTION-IN-FORCE

On occasion, economic or operational factors may require a reduction in a department's or clinic's workforce. The underlying philosophy concerning any reduction-in-force is that the PDC values its staff whose performance meets expectations and who have no current corrective actions when positions must be eliminated. Where possible, the PDC first attempts to redeploy eligible staff to comparable positions in which they meet position requirements. Following this process, the PDC will work to sponsor short-term training options in an attempt to provide staff with the skills necessary for their placement into positions of comparable pay. Finally, if redeployment is not possible, the PDC will implement layoff provisions.

Any staff directly affected by a reduction-in-force will receive at least a 60-day written notice of a layoff from either a supervisor or PDC human resources. Staff are expected to work until the effective position elimination date unless an exception has been approved by a staff member's department/clinic or Human Resources.

Staff rehired by the PDC within one year following layoff will retain all benefit eligibility accrued during the prior service period. Continuous Service Dates will remain the same as those prior to layoff.

The reduction-in-force process applies to all regular full-time and part-time staff but excludes both staff who have not completed the 90-day orientation and evaluation period and staff whose positions are fully funded by grants or term positions that have a specified end date.

WORKPLACE HEALTH AND SAFETY

The PDC strives to create a safe workplace environment for all its staff, patients and visitors. The well-being of the PDC workforce is maintained and enhanced by an array of health and safety policies.

Smoking Policy

The PDC is a smoke-free work environment. Smoking is only allowed in designated areas, and staff should check with their supervisors for such workplace locations. In support of its mission to improve and promote health, all PDC facilities are tobacco-free environments.

Pre-Placement Health Reviews

The PDC requires a pre-placement health review for certain positions. Each review is designed to ensure that a staff member's health condition poses no significant threat to safety at work or creates potential health risks to PDC's patients, visitors, other staff, or the work environment in general. Such health reviews must be completed prior to beginning work.

Periodic Health Reviews

Staff working in certain positions are required to undergo periodic health reviews designed to determine if their health has been affected by their work and/or work environment. When notified, staff are given a window of three months to complete a health review. All logged work time while under the review is considered as paid time.

Disability and Impairment

Staff with physical or mental impairments that interfere with their abilities to perform appointed work should discuss their situation with their supervisor and contact PDC Staff and Labor Relations for assistance. Staff who need ongoing reasonable accommodation in the workplace for disabilities may contact Staff and Labor Relations to explore options provided for by the American Disabilities Act.

Workers' Compensation

The N.C. Workers' Compensation Act governs the medical treatment and wage replacement benefits provided to PDC employees who are injured as a result of a work-related accident or occupational disease. Any work-related injury or illness must be immediately reported to a staff member's supervisor. As soon as practicable, and always within 24 hours, the injured employee and the supervisor must complete a "Work-Related Accident, Injury, or Illness" report. Late reporting of the incident will result in the department being responsible for 100 percent of the salary replacement.

The PDC provides alternative duty work for injured employees whenever possible. Injured employees who remain productive and engaged in the workplace experience shorter periods of disability and better long-term outcomes. Workers' Compensation will coordinate with the injured staff member's supervisor to identify work that the staff member may perform safely. Injured staff members who are totally unable to work due to a compensable injury will receive wage replacement benefits pursuant to the Act. Staff members may elect to use their accrued PTO, sick leave, vacation, or discretionary holidays during the statutory waiting period. The staff member's FMLA leave will run concurrently with any absence due to a work-related injury.

Occupational and Environmental Safety

All staff and supervisors are responsible for proactively managing the safety of their staff and their work environment. Staff must comply with safety policies and rules, and use safety equipment that is provided to help create and maintain a safe working environment. Staff should discuss safety concerns with their supervisors.

When safety concerns are suspected or discovered, staff are required to report all relevant information about the concerns to their immediate supervisors. Failure to comply with the safety policy may result in corrective action up to and including termination of employment.

Prohibited Weapons Policy

The possession of weapons is prohibited at all times on PDC premises and while members of the PDC community conduct official business except in the case of police and security force.

Alcohol Use at PDC

The PDC prohibits the unauthorized use, possession, storage, manufacture, distribution, dispensation, and sale of alcohol both on the premises and during any business conducted in PDC-owned or supplied vehicles.

Pre-Placement Substance Abuse Screening

Prior to the completion of the hiring process, all PDC applicants will be screened for the presence of illegal drugs and for alcohol. Applicants who fail this screening will not be hired and are not eligible to reapply for hire for one year.

Substance Abuse Policy

Substance abuse is detrimental to an individual's health and may jeopardize safety in the workplace. For these and other reasons, the unauthorized use or possession of alcohol, controlled substances, and the use or possession of illegal drugs is prohibited on PDC's premises and during PDC-sponsored activities.

INTERNAL JOB OPPORTUNITIES AT THE PDC

The PDC's policies on recruiting, hiring, and transferring to other positions within the PDC community are designed to provide a fair and equitable process resulting in the appropriate match of a staff member's skills, knowledge, and experience with a given position's job requirements. This hiring and transferring process includes the following priorities:

- To identify and attract qualified and diverse applicants.
- To give preference to qualified PDC staff – particularly to those who are affected by a reduction-in-force, layoff, or return to work due to worker's compensation.
- To encourage the career growth of current staff.

When planning a staff recruitment, a hiring supervisor should ensure the job description is up-to-date, determine if the position has an affirmative action hiring goal, and then begin the recruitment by considering internal candidates. The hiring supervisor should consider and interview all eligible and qualified internal applicants – especially those who are on redeployment, layoff, or return-to-work status. In order to be considered as an internal candidate for any open PDC position, PDC employees must complete at least six months of employment in their current position subject to exceptions that can be made with approval by both human resources and current supervisors.

THE PDC EMPLOYEE REFERRAL PROGRAM

The PDC offers an Employee Referral Program as part of its comprehensive recruiting strategy to attract and enhance the pool of diverse and highly qualified candidates for hard-to fill and high-vacancy positions throughout the PDC. The program is designed to introduce qualified candidates to the PDC who may not otherwise be part of an applicant pool and to reward employees for the referral of candidates who are successfully placed in PDC positions.

Applicable Vacant Positions

PDC human resources determines which position vacancies are applicable to the Employee Referral Program based on market demands and historical length of position openings. Applicable positions will include a “Refer a friend” link within the Careers Section of the PDC’s internal human resources website. Successful candidate referrals by eligible employees to applicable positions qualify for the program regardless of the clinic or site location of the vacant position.

Eligible Employees

All individuals who are actively employed by the PDC at the time of the referral are eligible for the employee referral program, except:

- Individuals who are no longer employed by the PDC at the time a successful candidate reaches the 12-month anniversary of beginning work in the applicable position are not eligible to receive any payments under the Employee Referral Program.
- PDC employees who are involved in recruitment or hiring decisions for an applicable position as part of their job duties at the PDC (including managers and PDC human resources employees) are not eligible for payments under the Employee Referral Program for such positions.
- Immediate family members of successful candidates are not eligible for payments under the Employee Referral Program.
- PDC employees are not eligible to receive any payment under the Employee Referral Program for the referral of candidates into positions over which they will have any supervisory authority.
- PDC employees in roles classified as leadership positions are not eligible for payments under the Employee Referral Program.
- PDC members are not eligible to receive any payment under the Employee Referral Program.
- For the avoidance of doubt, Duke University employees who are provided to the PDC under contract are not eligible to receive any payments under the PDC Employee Referral Program.

Successful Candidate Referrals

Eligible employees qualify for payment under the Employee Referral Program when a referred candidate is hired into an applicable position and remains consistently employed in good-standing in that position for twelve consecutive months immediately following the candidate’s first day of employment in the applicable position. Individuals who, within 12-months of beginning work with the PDC, separate from the PDC or do not, at a minimum, meet expectations on performance evaluations are not considered successful candidates, and eligible employees who refer such individuals are not eligible for related payments under the PDC Employee Referral Program. Additionally, Duke employees who are provided to the PDC under contract will not be considered successful candidates under this program if they are hired directly by the PDC, and eligible employees will not receive any payments for referrals of such individuals.

Eligible employees do not qualify for payments under the PDC Employee Referral Program for any referral that would constitute a breach of any agreement the eligible employee may have with a former employer or for any referral of a candidate whose employment by the PDC would constitute a breach of any agreement between the candidate and a current or former employer of the candidate.

Reward for Successful Candidates

The PDC will make a one-time payment to Eligible employees who refer successful candidates to applicable positions in the amount of \$500. PDC human resources may also identify specific vacant positions with larger referral bonus amounts based on market demands, and any such additional amounts will be advertised. The payment will be made within 30 days of the successful candidate reaching the twelve-month anniversary of beginning work in the applicable position.

Eligible employees may receive more than one reward payment for the referral of multiple successful candidates to different applicable positions. Only one eligible employee can qualify for the referral of a single successful candidate to a specific position. If multiple eligible employees refer the same successful candidate to a specific position, the eligible employee who submits the first referral through the proper process will be eligible for a payment.

All payments made under the PDC Employee Referral Program are subject to federal and state tax withholding and will be reported on employees' annual W-2 forms.

Process for Referring Candidates

To submit a candidate for referral, eligible employees must refer the candidate through the PDC's Internal Careers Section of the PDC's internal human resources website. The eligible employee can refer the candidate to a specific job through the "Refer a Friend" link associated with the job, or the eligible employee can refer the candidate to multiple jobs through the "My Referrals" tab.

Any referrals made outside of the processes described above do not qualify for payment under the PDC Employee Referral Program.

AFFIRMATIVE ACTION AND EQUAL EMPLOYMENT POLICIES

Equal Opportunity Policy

The PDC prohibits discrimination and harassment, and provides equal employment opportunity without regard to race, color, religion, national origin, disability, veteran status, sexual orientation, gender identity, sex, or age. The PDC also makes good faith efforts to recruit, employ and promote qualified minorities, women, individuals with disabilities, and veterans.

Every member of the PDC community is encouraged to contribute to a workplace that is free from unlawful discrimination and harassment, demonstrates respect and celebrates diversity, and strives to build a more inclusive work environment.

Harassment and Discrimination Prevention

The PDC prohibits discrimination and harassment on the basis of age, color, disability, gender, gender expression, gender identity, genetic information, national origin, race, religion, sex, sexual orientation, or veteran status (collectively, "protected status" or "protected characteristics"). This prohibition includes discrimination and harassment based on the perception of an individual's protected status, even if that perception is incorrect. Discrimination and Harassment under this policy are defined as follows:

DISCRIMINATION: when an individual or group is subjected to an adverse action based upon a protected status or protected characteristic. Discrimination also includes failing to provide reasonable accommodations to a qualified person with a disability or failing to reasonably accommodate an employee's religious beliefs or practices, as required by state and federal law.

HARASSMENT: a type of discrimination that occurs when unwelcome verbal, visual, physical, electronic, or other conduct, based on an individual's or group's protected status or characteristic, is sufficiently serious to significantly interfere with that individual's or group's ability to participate in or benefit from PDC employment. Prohibited harassment under this policy includes:

- **HOSTILE WORK ENVIRONMENT HARASSMENT:** unwelcome conduct based on protected status that is sufficiently severe, persistent, and/or pervasive so as to significantly interfere with or alter the conditions of employment, or participation in a program or activity, or creates a hostile working environment that a reasonable person in similar circumstances and with similar identities would find hostile, intimidating,

or abusive. An isolated incident, unless sufficiently severe, would not create a hostile environment. Harassment is distinguished from behavior that, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities.

- **SEXUAL OR GENDER-BASED MISCONDUCT:** unwelcome conduct based on sex or gender that creates a hostile environment or involves submission to such conduct as a condition of any aid, benefit, or service in employment, or participation in a PDC program or activity.

The PDC also prohibits retaliation against any individual. The PDC defines retaliation under this policy as any adverse action or other form of negative treatment, including but not limited to intimidation, threats, coercion, discrimination or harassment, carried out in response to:

1. Good-faith reporting of or opposition to discrimination, harassment, or related misconduct
2. Individual or group participation in the PDC's complaint or investigation process
3. Individual or group refusal to participate in Duke's complaint or investigation process
4. Any other form of good faith opposition to what an individual reasonably believes to be discrimination, harassment, or related misconduct under this policy
5. Good faith request for accommodations on the basis of religion or disability.

To be a Policy violation, the challenged actions or treatment must be sufficiently serious to discourage a reasonable person from further reporting, participation, or opposition. Charging an individual with a Policy violation for making a materially false statement in bad faith in the course of the PDC's complaint process or in response to a complaint does not constitute Retaliation.

Harassment and Discrimination Reporting

PDC employees who believe that they have either witnessed or been the subject of harassment or discrimination can report those incidents by utilizing the PDC Harassment and Discrimination Reporting System by calling 919-668-9296.

Consensual Relationships

Romantic and/or sexual relationships between supervisors and directly reporting staff are strongly discouraged. Such relationships have the potential for adverse consequences for all involved parties. Given the fundamentally unbalanced nature of these types of relationships, any apparently consensual capacity of the relationship may cast doubt upon the objectivity of the supervisors. In the event a personal relationship of this kind does exist, the supervisor must disclose the relationship to his/her superior and initiate arrangements to address any conflict-of-interest issues.

Americans with Disabilities Act (ADA) and the Rehabilitation Act

Both the Americans with Disabilities Act (ADA) and the Rehabilitation Act prohibit employment discrimination practices against qualified persons with disabilities. These acts also require that employers provide reasonable accommodations to qualified individuals with disabilities.

Nepotism Policy (Hiring of Relatives)

PDC staff may not hire or supervise their relatives.

GLOSSARY: HANDBOOK TERMINOLOGY

ABBREVIATED SCHEDULE – A work schedule of more than 20 but less than 40 hours per week.

COBRA (CONSOLIDATED OMNIBUS BUDGET

RECONCILIATION ACT) – An act added to the Internal Revenue Code in 1985 allowing for specific staff and their dependents to continue health and dental insurance, and reimbursement accounts for a specified period of time after termination from PDC’s group health plans.

COMPARABLE PAY – Pay that is no more than a 10 percent reduction in current base salary.

COMPARABLE POSITION – A position is considered “comparable” if there is no more than a 10 percent reduction in current base salary. This is the primary consideration in

determining whether or not a position is comparable.

CONTINUOUS SERVICE DATE – The most recent date of hire used to determine certain benefits including paid time off, vacation accrual rates, seniority status, and eligibility for certain programs.

DIRECT DEPOSIT – An agreement for staff pay to be directly deposited into a bank or credit union account.

EQUAL OPPORTUNITY/AFFIRMATIVE ACTION –

A policy of affirmative action for equal opportunity in employment without regard to race, religion, national origin, disability, veteran status, sexual orientation, gender identity, or age. This policy applies to all personnel actions – including compensation, benefits, transfers, promotions, layoffs, recalls, demotions, and terminations. It also pertains to PDC-sponsored training programs – including social, educational assistance, and recreational programs and the use of PDC facilities.

EXEMPT STATUS – Staff performing “exempt” work are not eligible for overtime pay and are not covered by the overtime pay provisions of the federal Fair Labor Standards Act. Staff performing “exempt” work are compensated on a salary basis.

FAIR LABOR STANDARDS ACT (FLSA) – A federal statute with several provisions governing employment status – including stipulations regarding types of work for which overtime compensation must be paid and a minimum wage provided.

FULL-TIME SCHEDULE – A work schedule of not less than 40 hours per week. (And for benefits eligibility purposes, a work schedule of no less than 30 hours per week).

HARASSMENT – Any unwarranted and/or unwanted behavior that creates a hostile or intimidating environment in which verbal or physical conduct is severe or persistent enough to cause significant interference with a staff member’s work. PDC policy prohibits harassment.

JOB CLASSIFICATION – A group of positions with the same title, typical duties and responsibilities, classification description, and position code number.

LAYOFF – A loss of employment due to economic and/or operational factors requiring a workforce reduction. A layoff can be either temporary (when loss of employment is expected to be of a short duration – i.e., 30 calendar days or less) or permanent (when loss of employment is more than 30 days).

NON-EXEMPT STATUS – PDC is required by the Fair Labor Standards Act (FLSA) to pay staff performing “non-exempt” work a regular hourly wage. PDC is also required to pay staff performing “non-exempt” work overtime at the rate of one-and-one-half times his or her regular hourly rate based on a specified overtime method. Staff performing “non-exempt” work also fall under the minimum wage requirements of the law. Staff performing “non-exempt” work are required to account for all time worked as well as the use of sick, vacation, and other leave time on an hourly basis and are paid biweekly.

ORIENTATION AND EVALUATION – The first 90 calendar days after employment in a regular position at PDC. Its purpose is to provide new staff the time to develop familiarity with their department, colleagues, and job responsibilities. Newly hired PDC staff cannot use vacation or sick leave during this period.

PART-TIME SCHEDULE – A work schedule of less than 20 hours per week.

REDEPLOYMENT – Placing PDC staff into another comparable position at PDC within a 60-day notification period of a position elimination.

REDUCTION-IN-FORCE – The elimination of a work position for more than 30 calendar days in duration and, in some cases, a permanent phasing out of positions.

REGULAR POSITION – A job in which expected work will last more than 999 hours a year.

REGULAR STAFF – An individual who maintains continuous, regular employment status at PDC – as opposed to those classified as temporary, student staff, or staff who are fully funded by grant(s).

RETRAINING – The “training” or “retraining” that can be reasonably provided during the 60-day notification period to qualify staff for redeployment.

SCHEDULED TIME OFF – Any work period absence that has been approved in advance by a supervisor.

SENIORITY – A length of continuous service with PDC as defined by date of latest hire.

SEXUAL HARASSMENT – Unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct

of a sexual nature. PDC also understands that “sexual harassment” includes any instance in which submission to a sexual favor or conduct is made – either implicitly or explicitly – as a term or condition of employment as well as when submission to or rejection of a sexual favor or conduct is used as the basis for employment decisions. PDC policy prohibits sexual harassment.

SIXTY-DAY (60) NOTIFICATION PERIOD – The period of time given to staff who have been notified that their position will be eliminated for more than 30 days. During the 60 days, staff will continue working in their position on regular payroll. The 60-day notification is given to staff in order to urge the active pursuit of other employment opportunities both within and outside of PDC.

STAFF – Throughout this handbook, PDC-employed individuals are referred to as “staff” – regardless of the exempt or non-exempt status of their work or whether they are paid by the hour or salaried.

SUPERVISOR – This handbook often refers staff to their “supervisor.” Regardless of title, a “supervisor” is an individual to whom staff report. “Supervisors” have the responsibility and authority to direct, evaluate, and support the effective operation and performance of their staff.

TARDINESS – Any period(s) of time in which staff are not at their designated workstations, are not prepared to work at their scheduled start time, or return late from breaks or leave work early. Tardiness that extends to more than half of a staff member’s designated shift becomes automatically considered as “unscheduled time off.”

TRIAL PERIOD – The first 90 calendar days following a staff member’s transfer to another position at PDC. Its purpose is to provide staff the time to develop familiarity with their department, colleagues, and job responsibilities. Transferring staff can use accrued and unused vacation and/or sick leave during this period.

UNSCHEDULED TIME OFF – Any work-period absence that is not approved in advance by a supervisor. Examples of unscheduled time off include instances in which staff report to work halfway through scheduled shifts or when staff are absent due to illness.

WORK SCHEDULE – PDC’s “work schedule” is defined as the many functions that must be performed or fulfilled by members of the PDC community 24-hours-a-day, seven-days- a-week. The majority of work schedules are based on an 8-hour, 10-hour, or 12-hour workday, or on a 40-hour workweek or through an 80-hour biweekly pay period. Supervisors arrange staff work schedules when staff begin their service at PDC. Supervisors must provide staff with 30 days advanced notice before permanently changing existing schedules.

WORKWEEK – PDC’s “workweek” is the seven consecutive 24-hour periods or workdays beginning at 12:01 a.m. on a Monday and ending at 12:00 midnight on the following Sunday.

DISCLAIMER

The information described in this handbook is intended to provide the guidelines and general information necessary to enable PDC staff and supervisors to work together successfully and effectively in order to accomplish assigned job responsibilities and – perhaps even more importantly – to support PDC’s overarching missions. Information contained in any handbook, manual or document prepared for or relating to non-exempt and exempt staff is for informational purposes only and shall not be construed as a contract.

In summary, while this handbook strives to be a wide-ranging information resource, it should not be understood as a full-replacement of PDC’s official policies or of its more comprehensive procedures and guidelines. If you find that you have questions that are not answered here, please contact your immediate supervisor.

Finally, the provisions of this version of the “PDC Staff Handbook” supersede those put forth in all previous editions of the handbook. This handbook may not be amended or added to in any way without the express written approval of designated leadership staff.

Policies or procedures referenced in this handbook may have changed since the printing of the handbook.



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