

Richmond ENT

EMPLOYEE HANDBOOK

January 1, 2013

WELCOME!

Whether you are an existing employee or a new hire, welcome! Richmond ENT is dedicated to assisting you develop your potential and maximize your opportunities. It is also our hope to enable each employee to achieve a quality of life that allows a balance between work and family.

These opportunities would not be available without patients. Patient approval of our services and work is the most critical, influential factor for the success of our practice. It is our responsibility to provide quality care and service in a cost effective and timely manner. The relationship we have with our patients is governed by your attitude. Your success in your position depends not only on your skills in carrying out your job duties, but also on your ability to work with others.

We invite you to read and become familiar with the contents of this Employee Handbook. You will find it full of helpful and valuable information about our policies, benefits, procedures, and opportunities available to you. We hope that this will guide and assist you to perform to the best of your abilities and to develop and realize your potential as one of our valued employees.

The policies, procedures, and programs outlined in this Handbook are designed to serve as guidelines to keep you informed of relevant facts about your employment. They are not intended to create any kind of contractual relationship and are subject to change at Richmond ENT's discretion, with or without notice. While the policies and procedures outlined in this Handbook should give you answers to most of the general questions you might have about your job or the Practice's programs and procedures, it cannot cover every situation that might arise. If you have questions about these guidelines or need further information about any subject, please consult with the Practice Administrator.

We welcome your suggestions for improvements either to policies or procedures covered in this Handbook or in other job-related areas or subjects. Your ideas on ways to improve our operations and procedures are important to us, and, along with your effort and performance, are an ideal way to contribute to our future growth and your own development.

Once again, we welcome you and wish you success as we turn to face the numerous challenges, opportunities, and potential rewards ahead.

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INTRODUCTION

The policies and procedures outlined in this Handbook are for the uniform guidance of all employees of Advanced Otolaryngology, P.C., which is doing business as Richmond ENT and leasing space and staff to Richmond Hearing Aids, Inc. Unless specified herein, these policies apply to all employees, whether acting on behalf of Richmond ENT or Richmond Hearing Aids and may be referred to separately or as the “Practice” in this Handbook. The Handbook also provides, through discussion with management, the mechanism through which all problems, complaints, and concerns are to be handled. Except where specific reference is made to particular categories of employees, the policies and procedures referred to in this Handbook are applicable to all employees.

The Handbook does not provide answers to all your questions, and employees should feel free to consult their supervisor or the Practice Administrator on any employee related issue. This Handbook is only a guide. It is not a contract of employment and it does not create any contractual rights or obligations, nor does it guarantee any fixed terms and conditions of your employment. The Practice may from time to time, at its sole discretion, change, supplement, or eliminate these policies and procedures with or without prior notice to employees.

It should be understood that there are no promises of any kind in this Handbook. Your employment is not for any specific duration and may be terminated at will, with or without cause and without prior notice, by the Practice, or you may resign at any time.

Some subjects in this Handbook, such as benefit plans, are covered in detail in official plan documents available from the Practice Administrator. If there is any conflict between this Handbook and a plan document, the plan document will govern.

This Employee Handbook supersedes and replaces any former or existing policies or statements to the extent that these are inconsistent with any Handbook provision. No employee should rely on any provision contained in any such superseded document. Additionally, this Handbook supersedes any such oral promises made by any person employed with the Practice other than those made by Dr. Michael Armstrong, Jr. Any such oral promises are not valid and will not be honored.

All employees should read and familiarize themselves with the provisions of this Handbook.

January 1, 2013

PRACTICE PROFILE

Dr. Michael Armstrong is certified by the American Board of Otolaryngology – Head and Neck Surgery and by the American board of Facial Plastic and Reconstructive Surgery. He is a fellow of the American Academy of Otolaryngic Allergy. A native of Richmond, Dr. Armstrong trained at Johns Hopkins Hospital and has been in practice since 1995. Special interests include facial plastic surgery and innovative techniques in sinus surgery.

Dr. Carol Byrd is a graduate of the University of Richmond and the Medical College of Virginia, Dr. Byrd practiced pediatrics in Richmond for nearly 20 years before retraining as a cosmetic laser specialist. In 2002, she founded the Advanced Skin and Laser Center, an independent practice that shared office space with Richmond ENT for eight years. Dr. Byrd officially joined our practice in January 2011 to offer Intense Pulsed Light (IPL) and laser treatments that complement the cosmetic surgery of Dr. Armstrong. Dr. Byrd also performs treatments for removal of unwanted body hair and spider veins.

MISSION STATEMENT

To provide specialized care of the ears, nose and throat

VALUES

Patients deserve quality medical care without compromise.

Patients will be seen promptly at the appointed time.

Time will be built into schedule to accommodate emergencies.

Ancillary providers will increase physician productivity and patient satisfaction.

Staff will be treated with respect and challenged to learn new skills.

Patient care includes consideration of physical, emotional and spiritual needs.

1.0 EMPLOYMENT POLICIES

1.1 Equal Employment Opportunity

Richmond ENT is an equal opportunity employer. It is the Practice's intention to be fair and just with all of its employees.

The Practice is committed by corporate policy to recruit, employ, and promote the best qualified individuals in full compliance with all applicable laws prohibiting discrimination on the basis of race, color, religion, gender, national origin, age, pregnancy, childbirth or related medical conditions, genetic information, military service, marital status, disability, or any other characteristic protected by law.

Equal employment opportunity applies to all personnel actions such as recruiting, hiring, compensation, benefits, promotions, training, transfers, terminations, and opportunities for training.

The Practice will comply with the Americans with Disabilities Act (ADA) and the ADA Amendments Act (ADAAA) of 2008 by making reasonable accommodation(s) for qualified individuals with disabilities, unless doing so would result in an undue hardship to the organization, create a direct health or safety threat, or fail to help the employee successfully perform his/her essential job functions at the same level as employees without disabilities.

Any suspected breach of this policy should be reported to your supervisor, the Practice Administrator, or Dr. Armstrong. If none of these individuals is available or you feel uncomfortable discussing the matter with them, contact our Human Resources Consultant, Larry Elinskas, at 804-966-8100. The Practice will undertake an investigation of any complaint so made.

There will be no retaliation against anyone reporting a breach of this policy and **the Practice will not tolerate any breach of this policy. Any violators will be subject to disciplinary action up to and including termination.** All complaints will be kept confidential to the extent possible, while still allowing the Practice to conduct an investigation.

1.2 Sexual and Other Unlawful Harassment

The Practice is committed to providing a work environment that is free from all forms of discrimination and conduct that can be considered harassing, coercive, or disruptive, including sexual harassment. Whether spoken, written, or shown in any electronic or physical medium or communicated in any other manner, **actions, words, jokes, or comments based upon an individual's race, color, religion, gender, national origin, age, pregnancy, childbirth or related medical conditions, genetic information, military service, marital status, disability, or any other characteristic protected by law will not be tolerated.**

Sexual harassment is defined as unwanted sexual advances, or visual, verbal, or physical conduct of a sexual nature. This definition includes many forms of offensive behavior and includes gender-based harassment of a person of the same sex as the harasser. The following is a partial list of sexual harassment examples:

- Unwanted sexual advances;
- Offering employment benefits in exchange for sexual favors;
- Making or threatening reprisals after a negative response to sexual advances;
- Visual conduct that includes leering, making sexual gestures, or displaying sexually suggestive objects or pictures, cartoons or posters;
- Verbal or electronic conduct that includes making or using derogatory comments, epithets, slurs, or jokes;
- Verbal sexual advances or propositions;
- Verbal abuse of a sexual nature, graphic verbal commentaries about an individual's body, sexually degrading words used to describe an individual, or suggestive or obscene letters, notes, or invitations;
- Physical conduct that includes touching, assaulting, or impeding or blocking movements;
- Behavior that negatively impacts the productivity of another employee.

Any conduct that has the purpose or effect of interfering with work performance or creating an intimidating, hostile, or offensive work environment, either in person or through electronic or other mediums, will not be tolerated.

If you experience or witness sexual or other unlawful harassment in the workplace, whether it is from a manager, other employee, patient, or supplier, **report it immediately** to your supervisor, the Practice Administrator, or Dr. Armstrong. If none of these individuals is available or you feel uncomfortable discussing the matter with them, contact our Human Resources Consultant, Larry Elinskas, at 804-966-8100

No employee shall be subject to reprisal or retaliation for having raised concerns and making reports in good faith.

All allegations of sexual or other forms of harassment will be quickly and discreetly investigated. To the extent possible, your confidentiality and that of any witnesses and the alleged harasser will be protected against unnecessary disclosure. Each employee shall, without fear of reprisal or retaliation, cooperate in the investigation of a complaint of harassment. When the investigation is completed, you will be informed of the outcome of the investigation.

Anyone engaging in sexual or other unlawful harassment will be subject to disciplinary action, up to and including termination of employment.

1.3 Interaction with Patients – Non-Fraternalization

To avoid any misunderstanding among patients, employees should not examine sensitive body parts without a chaperone, and should request a chaperone for any patient

who is dressed or behaving in a provocative manner. Employees must be willing to assist providers quickly and with discretion.

It is strongly discouraged that any employee meet with a patient in the Office after hours. If it is necessary to meet a patient in the Office after hours, the patient and/or the provider should bring a third party for the sake of propriety and also in case of an emergency such as syncope or bleeding.

Employees must maintain an exclusively professional relationship with patients and co-workers. Dating among employees or between employees and current patients is strictly prohibited. Furthermore, conflicts may arise if family members or loved ones of established employees wish to become patients or employees of the Practice. Any potential conflict must be discussed with the Practice Administrator.

1.4 Employment at Will/Policy Handbook Changes

Employment with Richmond ENT is voluntarily entered into, and employees are free to resign at any time, with or without cause or notice. Similarly, the Practice may terminate the employment relationship at any time, with or without notice or cause, so long as there is no violation of applicable federal or state law. This at will doctrine does not alter employees' right to alter their at will status through a collective bargaining agreement.

Policies set forth in this Handbook are not intended to create a contract, nor should they be construed to constitute contractual obligations or invitation to contract of any kind between the Practice and any of its employees. Policy changes can occur at any time at the discretion of Dr. Armstrong.

1.5 Substance Abuse Policy

Richmond ENT is committed to a work place environment that promotes the safe and efficient performance of job duties and supports the health and well being of all employees. For this reason, the Practice strives to maintain a tobacco, drug and alcohol free work place to safeguard its employees, the quality of its services, and its reputation in the community.

Richmond ENT is committed to the medical premise that smoking is a significant health risk for its patients and employees. A strong and consistent anti-smoking educational approach will be applied to employees and patients alike. No smoking is allowed inside SPSC, any Richmond hospital, or any Richmond ENT facility. Smoking is not allowed on the sidewalks outside the MOB. Employees may not smoke within clear view of any patient entrance to the building. Employees must avoid bringing the odor of tobacco smoke into the office. Richmond ENT does not make special accommodations for the needs of smokers.

Employees and other individuals who work for the Practice are prohibited from reporting to work or working while they are using or under the influence of alcohol. The

responsible use of alcohol may be allowed on Practice property during non-work time if consumed during Company sponsored social or approved business-related events.

Drug use will not be tolerated under any circumstances on Practice property; while on Practice business (whether or not on Practice premises); or while representing the Practice. An employee may use medications legally prescribed to him/her by a physician who has advised the employee that the substance will not impair his/her job performance. All employees are required to inform management if they are taking any prescribed medications which may have side effects that relate to the performance of job duties.

Richmond ENT may request drug or alcohol testing at the time of employment, or for reasonable suspicion, or following an accident or injury, or at other random times without notice. Any positive test for alcohol or illegal substances during business hours may result in immediate termination. Employees who refuse testing will be considered to have tested positive.

The Practice maintains a policy of non-discrimination and will endeavor to make reasonable accommodations to assist individuals recovering from substance and alcohol dependencies and those who have a medical history which reflects treatment for substance abuse conditions. We encourage employees to seek assistance before their substance abuse or alcohol misuse renders them unable to perform the essential functions of their jobs, or jeopardizes the health and safety of any Practice employee, including themselves.

Any employee convicted under any federal or state criminal drug statute, including DUI, must notify the Practice Administrator within five (5) days of such conviction. Failure to do so will result in termination of employment.

1.5.1 Searches

The Practice maintains the right to carry out reasonable searches of employees' personal belongings, computer cases, work area, desks, and packages while on Practice property. The purpose of such searches is to deter the use, possession, transportation or sale of illegal or unauthorized drugs in order to maintain a safe work environment.

Such searches may be initiated by the Practice without prior announcement, with or without cause, and will be conducted at such times and locations as deemed appropriate. **An employee's consent to such searches is required as a condition of becoming and remaining an employee of Richmond ENT.** Refusal to allow a search by management may result in termination.

1.6 Job Descriptions

Each position at Richmond ENT has a written job description. Read your job description carefully, and if you have any questions, do not hesitate to ask your supervisor. Job descriptions are not a contract of employment, nor are they intended to bind or restrict an employee in any manner. They clarify expectations, are to be used as a

guideline for essential and additional functions, and serve as the basis for performance evaluations.

1.7 Verifications and Background Checks

All relevant credentials, including education, licensure, professional membership, and prior employment are subject to independent verification. A background check will be conducted on all potential hires. Falsification of information on the employment application or subsequent materials is cause for immediate termination whenever verified.

1.8 Open Door Policy – Issue Resolution - Suggestions

In any Practice, it is natural for occasional problems to arise, although we try very hard to help our employees avoid them. However, if a problem of any kind develops, we want to be aware of it as soon as possible. It is for this reason that we have an “Open Door” approach to problem solving.

You are actively encouraged to follow the Practice’s chain of command should you have any questions in connection with your job, communicating any continued issue to each level, if needed. Suggestions/ideas for the betterment of the Practice, including process improvements, may also be discussed with them.

To ensure all employees are informed of Practice issues or changes, management communicates with employees in groups, individually, and through e-mail.

1.9 Introductory Period

All newly hired employees serve an introductory period of three months.

The purpose of this introductory period is to allow time for evaluation of performance and training of employees in their new job. During this time, the employee also has the opportunity to determine if the Practice is suited to his or her needs. Employees are frequently evaluated during this period.

Full time introductory staff are eligible for health and dental benefits. They do not accrue paid time off. Upon satisfactory completion of the introductory period, accrued paid time off will be available retroactive to the original date of hire.

Employment, both during and after this introductory period, is considered to be “at will” for both employer and employee. The successful completion of this period does not guarantee employment for any specific duration.

1.10 Confidentiality and Intellectual Property

All business and internal affairs information relating to Richmond ENT is considered confidential and should not be discussed with any person outside the Practice.

Copying, photographing, removing, allowing unauthorized access to or distribution of Practice documents, patient files, or mailing lists is not allowed.

Personally identifiable employee information must be protected and should not be discussed, copied, or distributed without proper authorization. Should an employee breach this confidentiality requirement, his or her employment with the Practice may be immediately terminated.

All patient information, including names and photographs, are considered protected health information. Online postings regarding any patient without written permission from the patient is a HIPAA violation and subjects the employee to *personal* civil and criminal liability.

All business plans, fee schedules and contracts are considered proprietary information belonging to Richmond ENT and may not be disclosed without consent of Dr. Armstrong. All trademarks, logos, artwork, lectures, presentations, protocols, patient information sheets, documentation templates, and other text or graphics prepared for and while an employee of Richmond ENT remain the intellectual property of Richmond ENT and may not be copied, reproduced or transmitted by any means without the express consent of the director(s) of Richmond ENT. This list is not intended to be complete or exclusive. Employees should always ask before posting or transmitting any information relating to Richmond ENT.

1.11 Inappropriate Use/Disclosure or Theft of Property or Information

Any inappropriate use, disclosure, or theft of Practice equipment, computer files, or confidential information may be prosecuted within the limits of the law.

1.12 Outside Employment

We expect your full-time position with Richmond ENT to be your primary employment. Any outside activity, including self-employment, may not be transacted on Practice time, and must not interfere with your ability to properly perform your job duties with us. Should any activities outside your regular employment with the Practice conflict with the best interests of Richmond ENT or affect your performance of duties with the Practice, you will be required to choose between the two activities.

1.13 Right to Access Property

All property, including offices, desks, computers, computer files, printouts, other documents, tools, etc., is furnished to employees for use in performing employment duties. Richmond ENT retains the right of full access to this property and may routinely search it without notice.

1.14 Conflicts of Interest

As an employee, you must avoid any situation that will adversely affect performance of your job with the Practice. This includes avoiding employment with any other Practice offering services that are competitive with those offered by Richmond ENT.

Employees are not to solicit gifts or entertainment, receive kick-backs, or provide self-referrals. All purchasing decisions should be based on business necessity, Quality, price and service. Employees who accept or benefit from any type of purchase may be subject to disciplinary action, including termination.

Employees may also experience secondary gain by purchasing goods or services from a friend, family member, or closely held company. All potential conflicts of interest must be fully disclosed and discussed with the Practice Administrator.

1.15 Termination of Employment

Some of the most common circumstances under which employment may be terminated are:

- Resignation – voluntary employment termination initiated by an employee;
- Discharge – involuntary employment termination initiated by the Practice;
- Layoff – involuntary employment termination initiated by the organization due to business needs, including economic constraints.
- Retirement – voluntary action initiated by the employee.

Advanced notice is expected for voluntary termination in good standing. At least two weeks written notice of resignation is requested for clerical employees, medical assistants, and nurses who do not have a personal patient schedule. Four weeks are requested for hourly supervisors and providers with a patient schedule (allergy nurses, audio techs, estheticians, etc.). Eight weeks are requested for administrators and professional employees (e.g. NP, PA, audiologist); and twelve weeks for physicians. Failure to provide adequate notice may result in forfeiture of accrued PTO.

Resignation of employment requires continued good faith efforts and obligations to patient care including timely completion of medical records and all other responsibilities during the notice period. Paid time off may not be scheduled without adequate notice or documentation. If a resigning employee fails to report to work or fails to continue the quality of work exhibited before announcing his/her resignation, the employee may be terminated immediately, forfeiting the balance of any accrued paid time off.

Employees leaving the Practice must return all Practice property including but not limited to keys, computer hardware and/or software, business cards, Practice Handbooks/Manuals, and Practice sponsored identification cards. Each employee must sign a statement that he or she has returned all patient records, including copies of patient lists, at the time of termination. Property not returned may be deducted from final paychecks in accordance with existing regulations.

1.16 Exit Interview

Upon resignation, an exit interview with the Practice Administrator is recommended. It is the responsibility of resigning employees to schedule this appointment prior to the last day of work to review benefit eligibility as well as other aspects of their employment.

2.0 PAY PRACTICES

2.1 Classification of Employees

Each employee is designated as either NON-EXEMPT or EXEMPT with respect to the federal Fair Labor Standards Act, and similar state law. Non-exempt employees are entitled to overtime pay for hours worked in excess of 40 hours in a work week. Exempt employees are exempted from the minimum wage and overtime provisions of federal and state wage and hour laws. An employee's exempt and non-exempt classification may be changed only upon written notification by Practice management.

Additionally, employees are classified as either regular full-time, part-time, PRN staff, or agency employees.

REGULAR FULL-TIME employees are those who are regularly scheduled to work the Practice's full-time schedule, 35 hours or more in a workweek. Regular full-time employees are eligible to participate in Practice benefit plans as noted.

REGULAR PART-TIME employees work less than the Practice's full-time schedule (35 hours per workweek) on a regular or as needed basis for an agreed hourly wage. Part-time employees may be eligible for specific Practice benefits where noted in this Handbook.

PRN Staff Employees are "stand by" employees who work irregular schedules or on an "as needed" basis. PRN staff are not eligible for benefits.

AGENCY employees are leased through a temporary staffing agency. During the term of their contract, they are considered employees of the agency and do not receive any direct compensation or benefits from Richmond ENT.

2.2 Work Hours, Meal and Break Times

Normal office hours of the Practice are 7:30am to 5:00pm, Monday through Friday. Employees may be staggered to cover these hours and some employees may be designated to work 4 ten-hour days.

Employees working 5 or more hours in a day are expected to take a 30 minute unpaid lunch break. Employees may take up to one hour for lunch if the patient schedule permits. Employees should not eat in any clinical area, in the reception office, or in view of waiting patients.

Non-exempt employees will be paid for "working through lunch" only if necessary for acute patient care, a co-worker is absent, the doctor is running behind, or they are participating in an administrative or educational staff meeting.

For each 4 hour half day worked, up to ten minutes in cumulative breaks may be taken provided the breaks do not interfere with the quality of patient care. Breaks are not

guaranteed and the workload on any given day may prohibit an employee from taking a break. No breaks are permitted within two hours of arrival or departure.

2.3 Recording Time

Government regulations require the Practice to maintain accurate records of hours worked by all non-exempt employees. Non-exempt employees must clock in and out using NOVATime the time they begin and end work, as well as the beginning and ending time of any departure from Richmond ENT for lunch or any non-work related reason.

Exempt employees must use NOVATime to document all Paid Time Off (PTO) time.

Any errors in your time record should be reported immediately to your supervisor.

Altering, falsifying, or tampering with time records is prohibited and subjects the employee to discipline, up to and including termination.

2.4 Overtime

Because of patient care, employees may be asked to work beyond their normal work schedule, including weekends. Employees are expected to work overtime in these situations.

The need for authorizing overtime is evaluated on either an emergency or non-emergency basis. Emergency overtime is defined as time worked to complete patient care in progress or to provide patient care of an urgent nature. Non-emergency overtime is defined as time worked to complete work of a routine, administrative nature.

Employees must receive written approval from their supervisor for non-emergency overtime before it is worked. Non-exempt employees must keep a running tally of hours worked for the week. The employee must inform his/her supervisor if the total hours worked in the week will exceed forty (40) hours before the workweek ends.

Non-exempt employees (hourly) will be paid one and one half times their normal base hourly rate for all **hours worked** in a work week in excess of 40 hours. Pay for holidays and PTO is **not** considered as time worked when computing overtime.

For purposes of calculating overtime for non-exempt employees, the work week begins on Monday and ends on Sunday at midnight.

2.5 Pay Procedures, Deductions – Forms (Tax, I-9) Completion

The work week is Monday to Sunday at midnight. Employees are paid bi-weekly by paycheck or direct deposit on Fridays for the previous two work weeks. Employees are encouraged to use direct deposit.

If a payday occurs on a holiday or non-work day, paystubs/paychecks are normally available on the last work day before the payday.

Paychecks for employees absent on a payday will be available the next work day. Employees assume all responsibility for cashing their paychecks. Lost paychecks will be replaced; however, the employee will be responsible for all related bank charges.

It is the policy of the Practice that exempt employees' pay will not be subject to deductions in violation of salary pay rules issued by the United States Department of Labor and state government. However, the Practice may make deductions from exempt employees' salaries in a way that is permitted under federal and state wage and hour rules. Deductions may be made for unpaid disciplinary suspensions of one or more full days imposed in good faith for infractions of safety rules of major significance or workplace conduct rules. Employees will be reimbursed in full for any isolated, inadvertent, or improper deductions, as defined by law.

Federal income tax, Social Security and state taxes will be withheld from an employee's paycheck as applicable. Employee selected deductions will also be made.

Employees will complete state and federal tax forms upon hire and whenever a change in exemptions is desired.

All new hires will complete the Employment Eligibility Verification Form I-9 as required by the Department of Homeland Security after an offer of employment has been made or within 3 days of beginning employment.

2.6 Garnishments

Employees are encouraged to meet their financial obligations and deal directly with their creditors. As required by law, the Practice recognizes orders for garnishments, liens, and wage assignments and will deduct amounts instructed by court order or other legal judgment.

2.7 Errors in Pay

If an employee believes there has been an error in pay, he/she should discuss the situation immediately with his/her immediate supervisor. The supervisor, upon understanding the details, will review the situation with the Practice Administrator. If there has been an error resulting in an underpayment or overpayment, adjustments will be made no later than the next scheduled payroll.

2.8 Pay on Separation from Employment

Employees separated from employment will be paid for time worked on the next regularly scheduled pay day. Employees separated from employment who owe the Practice for equipment, etc. may have deductions made according to applicable federal and state laws.

3.0 PERSONNEL POLICIES

3.1 Personnel/Medical Files

The Practice maintains a personnel file on each employee. The personnel file includes such information as the employee's job application, resume, records of training, performance evaluations, record of wage changes, and other employment records.

Personnel files are the property of the Practice and access to the information they contain is restricted and considered confidential. The information is available to employees who maintain the files and management personnel with a need to know.

Employees may request to see their personnel record in the presence of a Practice official. The request should be made to the Practice Administrator.

Employee medical and safety information is maintained in separate files, as appropriate. Access to these files is restricted and information is released only with employee authorization, except in case of emergencies as needed by management.

3.2 Updating Personnel Records

It is important that employee records are kept up-to-date. Employees must notify the Practice Administrator within 3 business days of any change in personal information (e.g. name, address, telephone number, marital status, dependency coverage, changes in beneficiary, persons to be notified in case of emergency, etc.).

3.3 Release of Personnel Information

All requests for personnel information regarding current or past employees must be referred to the Practice Administrator or Dr. Armstrong. **It is Practice policy to release only information on dates of employment, job title, salary, and duties of former employees when the request has been submitted in writing by a prospective employer.**

Employees may request that additional references or information to be furnished in connection with a new job, school or loan application. A **signed release** must be submitted to the Practice Administrator in order for the Practice to comply with such a request.

3.4 Performance Evaluation

Richmond ENT believes employees need feedback on their performance. They must be told when they are doing a good job and also informed when performance improvement is necessary.

Performance reviews are conducted after 90 days and on an annual basis thereafter, normally in the anniversary month. Employees are encouraged to complete a self-evaluation. In addition to the regular evaluation, written reviews may be completed whenever such reviews are deemed appropriate.

Following discussion of the written review, employees will be given the opportunity to add their comments to and sign the evaluation form.

3.5 Compensation

An employee's total compensation includes both a salary and/or wage and a benefits package.

Richmond ENT does not guarantee any specific pay increases or any certain timetable for pay increases.

3.6 New Employee Orientation

New employees are expected to complete all required new hire paperwork and review the Employee Handbook and administrative procedures with the Practice Administrator before beginning work.

4.0 BENEFITS

The Practice has established an excellent benefits package for regular full time employees.

While the Practice intends to maintain these employee benefits, it **reserves the absolute right to modify, amend, or terminate any benefit plan or require additional employee cost sharing at any time and for any reason.**

Details of some of the benefits are outlined in brochures prepared by the various service providers or agencies and are available from the Practice Administrator. If there is any conflict between the information provided herein and the plan documents, the plan documents will govern.

4.1 Cafeteria Plan (payroll deduction) Benefits

Richmond ENT provides a Section 125 salary reduction plan for the payment of group insurance benefits. You may defer exactly the amount necessary to pay for selected benefits. Details of the plan are explained in the Summary Plan Document, which is retained in the business office and which can be viewed on the server in the folder: Office POLICIES\Employee handbook\Richmond ENT employee forms\Section 125 Cafeteria Plan.

4.1.1 Group Health and Dental Insurance

Richmond ENT pays a portion of a group employee health and/or dental plan for the employee only. If the employee elects to receive coverage, the remaining portion of the premium will be deducted from the employee's paycheck. An employee may also deduct an additional amount from his/her paycheck if he/she wishes to purchase family coverage. An employee may elect or decline health insurance at the start of employment, at the start of each enrolment period, or with a major change in the household (e.g. marriage, childbirth, or loss of a parent or spouse). Part-time employees must work a minimum of 25 hours per week to qualify for these benefits.

4.1.2 Disability and Life insurance

Employees are currently eligible to participate in additional disability and life insurance plans provided by AFLAC. Richmond ENT does not pay for these benefits except under a salary deduction program. Employees may defer a portion of each paycheck to pay the premiums for any benefits they elect, and enjoy our group rate. Richmond ENT does not endorse any product or insurance company offered under the salary deferral plan.

Insurance coverage will be terminated on the last day of the month following the employee's last day of employment. If the last day of employment is the last day of the month, that will also be the last day of insurance coverage eligibility.

All covered employees are expected to handle claims directly with the insurance broker or carrier. Note that employees are not covered under Federal COBRA at the present time.

4.2 Paid Time Off (PTO)

Richmond ENT defines paid time off as a combination of vacation time, sick time and personal time. Paid time off (PTO) may be used for vacations, illness or injury, family illness or injury, or other anticipated and unanticipated time away from work. The number of days accrued varies based upon length of service. For full time employees, PTO hours accrue with each 2-week pay period according to the following formula:

First Year	10 days/year	3.08 hours/2 weeks worked
Years 1- 5	15 days/year	4.62 hours/2 weeks worked
Years 6-10	20 days/year	6.15 hours/2 weeks worked
Years 11-15	25 days/year	7.69 hours/2 weeks worked
Years 16 +	30 days/year	9.23 hours/2 weeks worked

- **Part-time** hourly employees (less than 35 hours per typical week) do not qualify for PTO.
- **Introductory** employees do not accrue PTO until they have successfully completed 3 months of full-time service. After the introduction period, PTO will accrue retroactively to the date of hire.
- **Agency** employees do not accrue PTO from Richmond ENT. Agency employees who are hired by Richmond ENT as regular, full-time employees (“temp to hire”) will immediately accrue PTO upon accepting full-time employment at Richmond ENT, but PTO will not accrue retroactively to the time of agency employment.
- **Salaried** employees will track PTO as if a typical workday is 8 hours. Salaried employees who are routinely scheduled to work 3 or 4 days per week will accrue PTO at 3/5 or 4/5 the rate for employees working 5 days per week. Salaried employees will be debited 8 hours for each scheduled work day missed for reasons other than approved CME, holiday or emergency office closure.

Planned vacation time and occasional sick leave are considered necessary to the health and productivity of each associate. No more than 6 weeks (240 hours) of PTO may be carried over into a new calendar year. Excess hours beyond this limit will be forfeited on December 31. Under extenuating circumstances, employees may request an emergency distribution of accrued PTO with a regularly scheduled payroll.

Employees terminating their employment with Richmond ENT must reconcile their PTO balance. If the employee has used time in excess of the amount accrued as of his/her date of termination, the amount paid in excess will be deducted from his/her final paycheck. If the employee has not used all accrued PTO, the balance will be paid to the

employee with his/her final paycheck, provided the employee has been employed more than one year and is terminated in good standing.

Requests for scheduled PTO should be made as early as possible to ensure adequate staffing. Every effort will be made to grant employee requests for time off, but it is ultimately the decision of the Practice Administrator. Employees are encouraged to take time off at times when physicians will be out of the office. Planned PTO will be scheduled with the prior approval of the Practice Administrator. PTO can be taken in one-hour increments.

The Practice Administrator is responsible for scheduling and approving vacation with due regard for the needs of Richmond ENT and the desires of the employee. The Practice Administrator is solely responsible for interpreting leave policies and regulations.

Employees who take unscheduled days off without permission of the Practice Administrator are not eligible for PTO reimbursement. In planning all vacations, employees should notify the Practice Administrator, in writing, well in advance. All vacation requests will be granted based upon the needs of the practice on a first-come, first served basis. The Practice Administrator will work with you to schedule vacations so that normal office operations can continue to function appropriately. Although every consideration will be given to the employees' choice of vacation time, the needs of the practice and its patients must be given prime consideration.

Vacation paychecks will be issued on regular paydays and not in advance of the vacation period.

4.3 Holidays

The following days are recognized as holidays for regular full-time employees who have completed the introductory period.

- New Year's Day (January 1)
- Memorial Day (last Monday in May)
- Independence Day (July 4)
- Labor Day (first Monday in September)
- Thanksgiving Day (fourth Thursday in November)
- Friday after Thanksgiving
- Christmas Eve (December 24)
- Christmas Day (December 25)

When a holiday falls on a weekend, the Practice Administrator shall determine the day of observance of the holiday in question. Deletions and additions of holidays will be made at the discretion of Dr. Armstrong. Part time hourly employees do not receive holiday pay.

The Practice may be closed from December 24th through January 1st. Employees are encouraged to reserve earned PTO to be paid for non-holidays during this period.

4.4 Jury Duty

If an employee receives a jury duty summons, the employee must provide a copy to the Practice Administrator immediately. Richmond ENT expects all employees to report to work when the court schedule permits.

Exempt employees on jury duty will be paid their full salary for any week in which they perform work for the Practice, minus any jury duty payment. Non-exempt employees will be paid their normal scheduled hours for the day, minus any jury duty payment.

4.5 Military Leave

Employees who are members of the National Guard or other Military Reserve units are eligible to take time off to fulfill active duty training requirements. Such unpaid leave is normally 2 weeks. During the leave period, employees will be entitled to all benefits for which they are eligible.

Employees who require military leave for extended periods will be afforded employment status and re-employment consideration in accordance with existing legal requirements under the Uniformed Services Employment and Reemployment Rights Act (USERRA).

Employees who are going on military leave are requested to present a copy of their orders to the Practice Administrator.

4.6 Funeral Leave

Employees who need to take time off due to the death of an immediate family member should notify their supervisor and the Practice Administrator immediately. Up to three days of paid leave may be taken if necessary to assist with arrangements or to attend the funeral.

Members of the immediate family include spouse, parents, siblings, stepparents, children, stepchildren, grandparents, grandchildren, in-laws. The Practice reserves the right to request substantiation of any death in the employee's family.

4.7 Leave Without Pay

After all other available leave has been exhausted, leave without pay may be considered in light of the employee's position and the needs of Richmond ENT. All questions regarding leaves of absence should be addressed to the Practice Administrator.

As a small business, Richmond ENT is not required to comply with the federal Family and Medical Leave Act (FMLA). As a matter of policy, Richmond ENT will grant a leave of absence to regular full-time and regular part-time associates (who meet the requirements described below) for the care of a child after birth or adoption or placement with the employee for foster care, the care of a covered family member (spouse, child, or parent) with a serious health condition, or in the event of an associate's

own serious health condition. Leaves will be granted for up to thirty days in any twelve-month period, except leaves for childbirth or for the associate's own serious health condition, which may be granted for up to a twelve week period and which may be taken intermittently.

An employee must have completed at least one full year of service with Richmond ENT and have worked a minimum of 1250 hours in the twelve-month period preceding the leave to be eligible for such leave.

If an employee requests a leave of absence for a serious health condition, to care for a child after birth, adoption, or placement in the home for foster care or to care for covered family member with a serious health condition, the employee must provide at least thirty days written notice prior to the anticipated leave date. If the leave is unexpected, the employee should notify his/her supervisor and the administrator as far in advance of the anticipated leave date as is practicable. Normally, this should be within two business days of when the need for the leave becomes known to the employee.

Any time that an employee expects to be absent or is absent for more than five consecutive work days, the employee may be required to submit appropriate medical certification from the employee's physician or from the family member's physician attesting to the nature of the serious health condition, probable length of time treatment will be required, and the reasons that the employee is required to be absent. Employees or family members may also be required to provide additional physician statements at the request of Richmond ENT at reasonable intervals. The employee or family member may be required to submit to a medical examination by a physician designated by Richmond ENT at its discretion and expense.

The employee will be required to use all accrued PTO prior to taking leave without pay. Once these benefits are exhausted, the balance of the leave will be without pay. All Richmond ENT benefits that operate on an accrual basis (e.g., paid time off) will continue as long as the employee is on paid time off (40 hours per week), but will then cease to accrue after PTO has been exhausted. All group health benefits (e.g., health insurance) may be continued during the extended leave at the employee's expense. Other benefits will be governed in accordance with the terms of each benefit plan.

Before returning from medical leave, the employee may be required to present Richmond ENT with a note from the physician indicating that the associate is capable of returning to work and performing the essential functions of the position, with or without reasonable accommodation.

Eligible employees returning from an approved leave may be reinstated to their former position or an equivalent position. Exceptions to this provision may apply if business circumstances have changed (e.g. position no longer available due to job elimination). Exceptions may also apply to certain highly compensated employees.

4.8 401 (k) Profit Sharing Plan

Richmond ENT provides a 401K profit sharing plan to its employees. Employees begin participation on the first day of each quarter following completion of one year of employment. Terminated plan participants who are rehired within 5 years may immediately resume deferrals. Employees working less than 1000 hours per year may not participate. Participants may elect payroll deductions to be contributed into the plan. Changes in payroll deductions must be requested in writing at least 2 weeks before the end of each quarter.

Richmond ENT will match 1 dollar for every dollar the employee saves in the plan, up to 3% of the employee's salary, within the statutory limits of payroll deferrals. Richmond ENT will match 1/2 dollar for every dollar over 3% that the employee saves in the plan, up to 5% of the employee's salary, within the statutory limits of payroll deferrals. The maximum company contribution under the matching plan is therefore 4%.

All employee contributions and matching company contributions are sent immediately to the investment manager on pay day. Each employee is fully vested in any money so contributed. In addition, Richmond ENT may contribute an additional amount as a distribution from any corporate profits. Employees become vested in the profit-sharing contribution over a five-year schedule.

After 2 years of service	20% vested
After 3 years of service	40% vested
After 4 years of service	60% vested
After 5 years of service	80% vested
After 6 years of service	100% vested

The retirement plan documents are kept on file in the business office and on the server in folder [Office POLICIES\Employee handbook\Retirement Plan](#). Please see the [Advanced Otolaryngology, P.C. 401\(K\) Profit Sharing Plan Summary Plan Description](#) for more details. All questions regarding your plan should be directed first to the Practice Administrator, or secondly to the plan trustee (Dr. Armstrong).

4.9 Educational Assistance

Richmond ENT was founded on the premise that education is paramount to quality patient care. Great emphasis is placed on patient education, and continuing education of employees is strongly encouraged. Mandatory on-the-job training and education that occurs during the course of normal business is considered a part of each employee's job description and this time will be compensated according to the employee's usual wages. Examples of paid educational activities would include on-the-job training and in-service seminars.

Extracurricular education such as college studies, vocational studies, and surgical observation, certifications, training courses, professional meetings and other educational activities outside of the normal practice of the office offer intangible benefits to each

employee, which may increase employability or lead to advancement within this practice. These activities are strongly encouraged, but will not be considered as paid hourly work. Under certain circumstances, employees may request tuition reimbursement for specific courses that provide an immediate tangible benefit to the practice.

Continuing medical education is required of professional staff. Full-time professionals are granted up to ten days leave and a budget up to \$3,000 per year for continuing education. Unused funds and unused educational leave do not roll over to the next calendar year and may not be distributed as additional pay. This budget includes meetings, travel, journals, examinations and other professional activities. Licensure and membership in appropriate, specialty-specific professional societies is exempt from this budget. Any exceptions beyond this budget must be approved in writing by Dr. Armstrong.

Hourly employees may also be sent to educational meetings at the request of Richmond ENT. Examples may include coding workshops, CPR certification, and software training. A written report is required upon return from the meeting and prior to receiving any compensation for the time in the meeting. That report must include an outline of hours actually spent in the meeting, highlights of the information or skills learned, and recommendations for practice changes. There is no specific budget for these courses – they will be considered on a case-by-case basis.

All expenses for continuing education must comply with the Education and Travel Expense Guidelines and should be reported using the Travel Expense Reimbursement Request.

4.10 Workers' Compensation

On-the-job injuries are covered by Workers' Compensation which is provided by the Practice at no cost to employees. If you are injured on the job, no matter how slightly, report the incident immediately to your supervisor. An Accident/Injury Report will be completed by the supervisor and forwarded to the Practice Administrator. Failure to follow Practice procedures may affect your ability to receive Workers' Compensation benefits.

4.11 Unemployment Insurance and Social Security

The Practice participates in statutorily required Unemployment Insurance for all employees. This program is entirely paid by the Practice.

Social Security taxes are paid by employees and/or the Practice according to current federal tax law.

5.0 ATTENDANCE AND PUNCTUALITY – CALL-IN

Your participation and attendance are important to Richmond ENT and our patients. Tardiness and absenteeism place a burden on patients and other employees and adversely affect the Practice's performance.

Employees are expected to report to work in accordance with the work schedule assigned by his or her supervisor and the Practice Administrator. Employees are responsible for letting his or her supervisor or the Practice Administrator know as soon as possible if he or she expects to be late or absent. Failure to notify your supervisor or the Practice Administrator appropriately may result in disciplinary action including termination.

Absences and/or habitual tardiness considered excessive may be grounds for termination.

The following procedures are to be followed if you are going to be absent or late:

- Personally notify your supervisor or the Practice Administrator as soon as possible but no later than 2 hours before your scheduled start time;
- Call in each day of illness at least ½ hour before the start of your scheduled shift to advise your supervisor/Practice Administrator that you will not be in.

Any absence over two (2) days due to illness or hospitalization may require a statement from the doctor authorizing an employee's return to work.

Unreported absences of 3 consecutive work days will be considered a voluntary resignation of your employment from the Practice.

6.0 SAFETY AND SECURITY

Richmond ENT is committed to the safety of its employees, its property and equipment. It is the policy of the Practice to comply with all applicable federal, state, and local health and safety regulations, and to provide an environment as free from recognized hazards as feasible.

A detailed explanation of Richmond ENT's safety practices is available in the OSHA Manual maintained in the business office and available on the Richmond ENT server within the folder D:\NtierFiles\Advanced Otolaryngology\Office POLICIES.

6.1 Reporting of Accidents, Injuries and Illnesses

Richmond ENT strives to maintain a safe, pleasant working environment for all employees and patients. In addition, each employee is encouraged to exercise good judgment in reporting to work during an illness and to practice safe methods in the execution of all job duties. Annual training will be provided regarding job-specific occupational health and safety regulations, as well as the management and avoidance of blood-borne pathogens. Every employee has a duty to report potential health hazards to his/her supervisor or the Practice Administrator. Compliance with safety regulations is a requirement of continued employment.

Should an employee become ill to the point of impairment during work, the associate should immediately notify his/her supervisor or the Practice Administrator. Depending upon the nature of the illness, the employee might be allowed to take a break, or if deemed necessary, to go home.

If the illness appears to be contagious in nature, the employee will be sent home or taken to a physician for treatment. This will reduce the chances of spreading the illness to other employees or patients. If the illness is severe or appears life threatening, the employee will be taken to his/her personal physician or to an emergency room as necessary. The employee will be responsible for all medical bills incurred due to the illness.

Any injury an employee suffers in a Richmond ENT office or in the execution of Richmond ENT business must be reported immediately to his/her supervisor and/or the Practice Administrator.

Minor first aid may be rendered in a Richmond ENT office. If the injury appears to be severe and further examination and/or treatment is deemed appropriate, the associate will be transported to the emergency room of the nearest hospital. Any on-the-job injury will be treated as a workers' compensation case.

Depending on the nature of the illness or injury, the employee may be required, at the discretion of the Practice Administrator, to obtain a signed release from a physician stating that the employee is fit to return to duty.

Report any dangerous conditions and practices to the Practice Administrator or Dr. Armstrong as soon as possible.

6.2 Workplace Violence

Violence in the workplace will not be tolerated. Pushing, punching, fighting, or intimidating acts of violence against another person's life, well-being, family, or property, or Practice property is forbidden. Any employee responsible for any acts or threats of violence will be subject to disciplinary action, up to and including termination.

The Practice prohibits the following:

- any act or threat of violence made by an employee against another, made in person or electronically;
- any act or threat of violence, including, but not limited to, intimidation, harassment, or coercion made in person or electronically;
- any act or threat of violence which endangers the safety of employees, patients, suppliers, contractors, or the general public;
- any act or threat of violence made directly or indirectly by words, gestures, or symbols made in person or electronically;
- possession and/or use of any type of weapon on Practice premises.

It is a requirement that employees report, in accordance with this policy, any behavior that compromises the Practice's ability to maintain a safe work environment. Reports must be made to your supervisor, the Practice Administrator, or Dr. Armstrong. All reports will be investigated immediately and kept confidential except where there is a legitimate need to know.

6.3 Prescribing Policies

No medication is to be prescribed or dispensed except upon order of a physician or qualified nurse practitioner. Prescriptions may be dispensed from the sample closet or transmitted to the pharmacy by properly trained and licensed nurses acting under the direct authority of a provider. Samples are intended for patients. Samples may not be distributed or used among employees except under the supervision of a licensed provider with a bona fide physician-patient relationship. Proper documentation must be maintained.

7.0 EMPLOYEE CONDUCT

The success of Richmond ENT depends on the conduct and performance of each employee. Richmond ENT requires employees to act in a professional manner whenever they are conducting Practice business or representing Richmond ENT at business or social events.

Although it is impossible to provide an exhaustive list of every standard of conduct, **employees are expected to:**

1. Follow all rules and policies in this Employee Handbook;
2. Treat co-workers, patients, and vendors with patience, respect, and consideration;
3. Be courteous, friendly, and helpful to others;
4. Dress appropriately for the specific position and job duties, and maintain a neat and clean appearance at all times.
5. Communicate openly with supervisors, managers, and co-workers.

It is not possible to list all the forms of behavior that are considered acceptable and unacceptable in the workplace. **The following are examples of infractions of rules of conduct that may result in disciplinary action, up to and including termination of employment. The Practice reserves the right to determine the disciplinary level appropriate to the misconduct.**

- Theft, misappropriation, concealment or inappropriate removal or possession of Practice, co-worker, or patient property;
- Deliberate waste, damage to, or attempted damage to materials, supplies, products, property or equipment of the Practice;
- Falsification of timekeeping or other Practice records, including absence from work, claims pertaining to injuries, claims for benefits, communications or records of personnel and production;
- Violation of the Practice's policy on Tobacco, Drugs and Alcohol;
- Unauthorized distribution or use of prescriptions or sample drugs;
- Discourtesy to patients and/or employees;
- Practicing medicine outside the scope of training or licensure;
- Accepting or soliciting tips or gratuities from patients or their families;
- Boisterous or disruptive activity in the workplace, including the use of indecent language;
- Spreading malicious gossip and/or rumors, engaging in behavior which creates discord and lack of harmony, interfering with another employee on the job, restricting work output or encouraging others to do the same;
- Unauthorized distribution of literature or soliciting in work areas during work time, or posting, removing, or altering notices on Practice property;
- Sleeping or dozing on the job, loafing, willful idleness or wasting time;
- Insubordination or other disrespectful conduct;
- Sexual or other unlawful harassment of employees, suppliers, or patients;
- Abusive, obscene, immoral, or indecent language or behavior;

- Violence, or threats of violence, of any sort directed toward a co-worker, manager, supplier or patient;
- Possession of dangerous or unauthorized materials, such as explosives, in the workplace or on Practice property;
- Excessive absenteeism, tardiness or any absence without notice;
- Gambling, or misuse of company funds;
- Unauthorized disclosure of practice “secrets,” patient information, personal employee information, or confidential information;
- Excessive personal phone calls;
- Eating or using a cell phone in patient waiting or serving areas;
- Using computer equipment to visit inappropriate web sites, including pornographic sites;
- Unsatisfactory job performance or conduct.

Note that either an employee or the Practice may terminate the employment relationship at any time, with or without cause, and/or, with or without notice.

8.0 ELECTRONIC MEDIA USE

8.1 Computer, E-mail, and Internet Usage

Computers, computer files, the e-mail system, Internet access and software furnished to employees are Practice property intended for business use only. All files maintained on the Practice's system are considered Practice property. **Employees should have no expectation of privacy when using Practice equipment.** Employees should not use a password, access a file, or retrieve any stored communication without authorization.

To ensure compliance with this policy, computer, Internet and e-mail usage may be monitored. The equipment, services, and technology provided to access the Internet remain at all times the property of Richmond ENT The Practice reserves the right to monitor Internet traffic, and retrieve and read any data composed, sent, or received through our online connections and stored in our computer systems.

As the e-mail system is the property of the Practice, all messages that are created, sent or received, including instant messages (IMs) remain the property of the Practice. The workplace e-mail system is to be used for business communications.

Additionally, sending offensive, discriminatory or disruptive e-mail messages, including instant messages (IMs), is strictly prohibited. Messages containing insensitive language, racial, sexual, ethnic or religious materials are not acceptable. E-mail messages containing vulgar language, gossip, ridicule, or retaliatory messages are prohibited and may be grounds for termination.

Messages received by or transmitted through the e-mail system, including IMs, are transmitted to persons who need to know the information. Employees should disclose the information or messages only to authorized employees.

All Internet related activity at the Practice should be business-related.

Unauthorized duplication of copyrighted computer software violates the law and is strictly prohibited. Employees are not allowed to load personal software on Practice or patient equipment.

Blogging on Practice computer equipment is prohibited.

Employees who violate this policy will be subject to disciplinary action, up to and including termination of employment.

8.2 Electronic Distractions

Employees may not watch television while working. Richmond ENT equipment is not to be used for Internet surfing, gaming, shopping, or other distractions. Music may be enjoyed if it is not distracting or offensive to patients or employees, and as long as it does not impair the work performance of employees in the judgment of the Practice Administrator.

8.3 Social Media

At Richmond ENT, we understand that social media can be a fun and rewarding way to share your life and opinions with family, friends and co-workers around the world. However, use of social media also presents certain risks and carries with it certain responsibilities. To assist you in making responsible decisions about your use of social media, we have established these guidelines for appropriate use of social media.

You are responsible for your posts

In the rapidly expanding world of electronic communication, social media can mean many things. Social media includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room, whether or not associated or affiliated with Richmond ENT, as well as any other form of electronic communication.

The same principles and guidelines found in Practice policies and three basic beliefs apply to your activities online. Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of co-workers or otherwise adversely affects members, customers, suppliers, people who work on behalf of the Practice or its legitimate business interests may result in disciplinary action up to and including termination.

Know and follow the rules

Carefully read these guidelines, the Non-Discrimination and Unlawful Harassment Policies, and ensure your postings are consistent with these policies. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may subject you to disciplinary action up to and including termination.

Be respectful

Always be fair and courteous to fellow associates, customers, co-workers, suppliers or people who work on behalf of Practice. Also, keep in mind that you are more likely to resolve work-related complaints by speaking directly with your co-workers or by utilizing our Open Door Policy than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage customers, patients, co-workers or suppliers, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, sex, disability, religion or any other status protected by law or company policy.

Be honest and accurate

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about Richmond ENT, co-workers, patients, suppliers, people working on behalf of or competitors.

Post only appropriate and respectful content

Maintain the confidentiality of all patient information and Richmond ENT private or confidential information, including information regarding the development of systems, processes, know-how and technology. Do not post internal reports, policies, procedures or other internal business-related confidential communications. Respect financial disclosure laws. Do not create a link from your blog, website or other social networking site to the Practice website without identifying yourself as a Richmond ENT employee. Express only your personal opinions. It is best to include a disclaimer such as “The postings on this site are my own and do not necessarily reflect the views of Richmond ENT.”

Don't be distracted from work

Refrain from using social media while on work time or on equipment we provide, unless it is work-related as authorized by the Practice Manager or Dr. Armstrong. Do not use Richmond ENT email addresses to register on social networks, blogs or other online tools utilized for personal use.

Employees are prohibited from using social media – whether in or away from the Office in a way that conflicts with their professional obligations or work responsibilities. No employee may use social media to promote services or businesses that compete with Richmond ENT or Physicians Hearing Aids. Employees may not use social media during work hours, nor may they use the Practice’s computers or other equipment to conduct any commercial activity unrelated to the business of Richmond ENT and Physician’s Hearing Aids.

Employees should avoid accepting friend requests from patients. The Practice may develop separate business pages for patients who wish to “follow” the Practice. Employees should not respond to medical questions through social media. Respond with a telephone call, face-to-face appointment, or through the secure web portal. Posting identifying information about a patient without proper informed consent is a violation of HIPAA law.

Retaliation is prohibited

The Practice prohibits taking negative action against any employee for reporting a possible deviation from this policy or for cooperating in an investigation. Any employee

who retaliates against another employee for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

Right to Monitor

Richmond ENT has the right to legally monitor social media to protect legitimate business interests. Information legally encountered on the Internet may be used to support decisions regarding employment, promotion, and termination from employment. Social media will not be used to unlawfully discriminate against anyone on the basis of a protected class.

Nothing in this policy shall be interpreted or implied as limiting an employee's right to engage in protected activity as provided by the National Labor Relations Act.

9.0 PERSONAL TELEPHONE CALLS, CELL PHONES, AND OFFICE EQUIPMENT

Practice telephones are available during normal business hours for effective communications with patients and business employees. Accordingly, personal use of Practice phones should be limited to emergency situations only.

Cell phones should be turned to vibrate while in working areas or when with patients. Employees should not answer any cell phone while in patient waiting or service areas. Personal phone calls and text messages should be limited to matters of an urgent nature. Personal calls should be taken on a personal cell phone, if available, to keep the company lines open for business use. Personal phone calls must never interfere with patient care. Phone calls exceeding two minutes should be handled during an employee's non-work time.

Employees with cell phones must refrain from using their phones while driving on Practice business. Safety must come before all other concerns. If it becomes necessary to use a cell phone while travelling, employees should find a proper parking spot. Stopping on the side of the road is NOT acceptable.

Under no circumstances should employees feel that they need to place themselves at risk to fulfill business needs.

Since this policy does not require any employee to use a cell phone while driving, employees who are charged with traffic violations resulting from the use of their phones while driving will be solely responsible for all liabilities that result from such actions. **Employees are further reminded that texting while driving is illegal in the state of Virginia.**

The personal use of Practice or patient office equipment and other services is not allowed without proper authorization. Employees are not to remove Richmond ENT property from the premises without approval from their supervisor or Dr. Armstrong. Any employee who removes Company property without permission and subsequently loses or damages the property may be required to reimburse Richmond ENT for the cost of repairs or replacement. Any employee who removes property without prior approval may be subject to disciplinary action up to and including termination.

10.0 BEHAVIOR/ PERSONAL APPEARANCE

Often the first impression a patient makes with the practice is based upon the appearance and manner of the staff. Professional medical attire is expected during business hours. Business attire is always appropriate. Comfortable nursing or surgical uniforms are acceptable under most circumstances. Men should wear shirts with collars or scrub tops. Administrative personnel may wear appropriate pants, dresses or skirts. Sweaters or lab jackets may be worn over clothing for comfort.

Tee shirts, jeans, athletic clothing, and visible undergarments are not acceptable during working hours. Excessive body art or body piercings should be removed or covered during business hours. Strong perfumes and clothing that smell excessively of tobacco smoke are offensive to many of our chronic rhinitis patients and should be avoided. Any clothing that is considered provocative, offensive or inconsistent with the image of the practice must be covered or replaced immediately. The Practice Administrator will be the sole judge of inappropriate clothing.

11.0 GENERAL POLICIES

11.1 Adverse Weather Conditions

If there is any question regarding hours of work during severe weather conditions, employees are responsible for contacting their immediate supervisor or the Practice Administrator regarding opening and closing hours. You may also call the SPSC weather Hotline at 775-4558, ext 800 to determine if the facility is operational, but you are still responsible for communicating directly with a supervisor at Richmond ENT.

11.2 (Content has been moved)

11.3 Travel Expenses

Richmond ENT believes that employees traveling on Practice business are entitled to reimbursement for reasonable expenses that meet reasonable and adequate standards for convenience, safety, and comfort. In order to receive reimbursement for reasonable travel expenses, Richmond ENT must approve travel in advance, and employees must follow the procedures specified in this policy.

The following travel expenses are eligible for reimbursement: travel, meals, lodging, and other reasonable expenses necessary to meet the objectives of the trip. Richmond ENT will reimburse only those items strictly related to business.

Upon returning from a business trip, employees must complete a Richmond ENT Travel Expense Report and include receipts.

11.4 Corporate Bankcards

Some employees may be issued a corporate bankcard. Expenditures charged to these cards must be business related and will be paid directly by Richmond ENT. Individual receipts for these expenditures should be forwarded to the Business Office.

Each employee entrusted with a credit card must review and sign the monthly bank statement, and forward to the bookkeeper in time for prompt payment. Any employee or agent of the Company who accepts or uses a corporate bankcard is personally responsible for documentation and appropriateness of all charges. Inappropriate charges must be repaid immediately. Misuse of corporate credit of any type may be considered grounds for termination, and unauthorized charges may be deducted from the employee's paycheck. Employees who willfully misuse corporate credit will be prosecuted.

11.5 Non-Solicitation

In order to prevent disruptions in the Office, there will be no solicitations for any purpose during work time in the Office, nor any distribution or posting of non-Practice written material during work time on Practice property without the approval of the Practice Administrator or Dr. Armstrong. This includes personal businesses such as "Tupperware parties" or Girl Scout cookie sales. Any such activities, if approved, must typically be restricted to the break room, and performed outside of work time.

The Office is not to be used to market items that do not pertain to services or devices supplied by Richmond ENT or Physician's Hearing Aids. Examples of prohibited advertising include drug manufacturer displays.

11.6 Parking

Employees are requested to park away from the main patient entrances. If there are no spaces in the rear lot, then employees should park at the outer perimeter of the lot. One employee parked for 8 hours occupies a space 8-12 patients could use for 30-60 minutes.

11.7 General Housekeeping, Kitchen and Conference Room

Employees are expected to maintain all work areas in a sanitary, neat and orderly condition at all times, and particularly when leaving in the evening. To maintain a professional medical environment the following minimum actions must be taken:

- Place all debris in appropriate waste containers;
- Unpack and properly store all deliveries in a timely manner;
- Store all medical and office supplies neatly and in appropriate locations;
- Keep passageways and exit routes free from obstruction at all times;
- Perform cleaning after each patient;
- Properly dispose of any regulated waste.

The kitchen and conference room are the property of SPSC. It is the responsibility of employees to clean up after themselves. All trash should be removed and placed in the large trash receptacle in the hall. The tables must be wiped clean and all dishes washed. Leftovers should be properly covered and refrigerated. Leftovers may be taken home or discarded at the end of each week.

Meal consumption is prohibited from patient areas. Employees are allowed to have a beverage at their desks, provided the beverage is kept out of the public view, is not in a patient care area, and does not compromise sensitive equipment. Employees should always take refreshments discreetly, so that they do not appear to be "on break" in front of patients who may be waiting.

11.8 Publicity/Statements to the Media

All media inquiries regarding the Practice and/or patients must be referred to Dr. Armstrong. Only Dr. Armstrong is authorized to make or approve public statements pertaining to the Practice or its operations. No employee, unless specifically designated by Dr. Armstrong, is authorized to make those statements. Any employee wishing to write and/or publish an article, paper, or other publication on behalf of the Practice must first obtain approval from Dr. Armstrong.

RICHMOND ENT

ACKNOWLEDGEMENT OF RECEIPT

I acknowledge receipt of my personal copy of the Practice's Employee Handbook. I understand that it is my responsibility to read, become familiar with, and abide by the policies, rules, and guidelines contained in it. I understand and agree that the Practice may revise, rescind or modify any portion of the Handbook at any time and that I shall be bound by such change. I further understand that management retains the right to apply the provisions of this Handbook with flexibility as it alone deems appropriate.

I understand that my employment with Richmond ENT is "at will" and, as such, employment is not for a fixed term or definite period and may be terminated at the will of either party, with or without cause, at any time and without prior notice, so long as there is no violation of applicable federal or state law.

In addition, I understand that nothing contained in the Handbook may be construed as creating a promise of future benefits, a contract of employment or any other type of contract. I further understand that this Handbook does not constitute any contract of employment between the Practice and no one other than Dr. Armstrong has any authority to enter into any agreement for employment for any specific time.

I understand this Handbook is not all inclusive of Practice policies and that if I have any questions regarding this Handbook or the information contained in it, I may discuss them with my supervisor, the Practice Administrator, or Dr. Armstrong.

Employee Name (Printed)

Employee Signature

Date

Employee Copy

RICHMOND ENT

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