# AGENDA ITEM 6

## CONSIDERATION AND ADOPTION OF PROPOSED REGULATORY LANGUAGE AMENDING TITLE 16, CCR SECTION 4101, DELEGATION OF CERTAIN FUNCTIONS, ADDING SECTION 4146.5, EFFECTIVE DATE OF DECISIONS, AMENDING SECTION 4147, UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE AND DISCIPLINARY GUIDELINES, AND ADDING SECTION 4147.5, UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE.

The following documents are attached for review:

- Notice
- Proposed text
- Initial Statement of Reasons
- Disciplinary Guidelines
- Uniform Standards Regarding Substance-Abusing Healing Arts Licensees

## TITLE 16. CALIFORNIA BOARD OF OCCUPATIONAL THERAPY

NOTICE IS HEREBY GIVEN that the California Board of Occupational Therapy (Board) is proposing to take the action described in the Informative Digest. Any person interested may submit statements or arguments relevant to the action proposed in writing. Written comments, including those sent by mail, facsimile, or email to the addresses listed under Contact Person in this Notice, must be received by the Board at its office not later than 5:00 pm on May 6, 2013.

The Board does not intend to hold a hearing in this matter. If any interested party wishes that a hearing be held, he or she must make the request in writing to the CBOT. The request must be received in the Board office not later than 5:00 pm on April 19, 2013.

The Board, upon its own motion or at the instance of any interested party, may thereafter adopt the proposals substantially as described below or may modify such proposals if such modifications are sufficiently related to the original text. With the exception of technical or grammatical changes, the full text of any modified proposal will be available for 15 days prior to its adoption from the person designated in this Notice as Contact Person and will be mailed to those persons who submit written or oral testimony related to this proposal or who have requested notification of any changes to the proposal.

Authority and Reference: Pursuant to the authority vested by sections 2570.3 and 2570.20 of the Business and Professions Code (BPC), and to implement, interpret or make specific sections 2570.28, the Board is proposing to revise Division 39, Title 16 of the California Code of Regulations (CCR) as follows:

## INFORMATIVE DIGEST

Informative Digest

The Board is the regulatory entity that regulates the practice of occupational therapy in the State of California. Existing law, BPC section 2570.25, mandates protection of the public shall be the highest priority of the Board in exercising its licensing, regulatory, and disciplinary functions.

CCR Section 4101 identifies functions and duties that the Board delegates its authority to the executive officer to perform. Among these duties, the executive officer is authorized to receive and file accusations and statements of issues, determine the time and date of administrative hearings, issue subpoenas, and approving settlement agreements for revocation or the surrender of a license. The duties are delegated to the executive officer to streamline and increase the efficiency of Board business. This proposed regulatory action will add authority for the executive officer to grant a motion to vacate a default decision filed by a respondent.

This proposed regulatory action will establish and create CCR Section 4146.5, to implement policy that will make adopted Default Decisions and Stipulated Settlements to go into effect 10-days from the date of service (notification) to a respondent unless otherwise specified in an Order of the Board.

This proposed regulatory action amends the Board's existing Disciplinary Guidelines by adding specific references to several general codes that were not previously listed in the document and provides minimum and maximum penalties and recommended probation terms for those violations. In addition, the proposed regulatory action amends many of the Board's standard and optional terms of probation by clarifying a probationer's responsibilities, duties, and Board expectations. Other

amendments incorporated promote communication, eliminate conflict, and adds a new term that would prohibit a probationer from instructing continuing competency or continuing education courses.

This proposed regulatory action amends and updates the Board's existing Uniform Standards Relating to Substance Abusing by incorporating the most recent version of the Department of Consumer Affairs' Substance Abuse Coordination Committee's "Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011)" and establishes a definition and criteria for applying these standards.

This proposed regulatory action makes a formatting change to existing CCR Section 4147 by removing all reference to the Uniform Standards Related to Substance Abuse, and places reference into its own newly created section, numbered 4147.5. Thus the Board will no longer incorporate its Disciplinary Guidelines and the Uniform Standards Related to Substance Abuse into a single integrated document; each document will stand alone. The proposed regulatory language makes other technical, punctuation, and renumbering changes due to the addition or deletion of text and the addition of a new probation term.

Policy Statement/Anticipated Benefits of Proposal

The intent and design of the proposed action is to streamline and reduce processing times associated with the disciplinary process. Amendment of the Board's Disciplinary Guidelines and incorporation of the most recent version of the Department of Consumer Affairs' Substance Abuse Coordination Committee's "Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011) will enhance and promote efficient administration of its Enforcement and Probation Programs.

The proposed regulatory action enhances and promotes public safety by establishing procedures, methods, and processes to streamline the disciplinary process and improve administration of the Board's Enforcement and Probation Programs.

Consistency with Existing State Regulations

This regulatory proposal is consistent with existing state regulations.

Document Incorporated by Reference:

California Board of Occupational Therapy Disciplinary Guidelines October 2013

Department of Consumer Affairs' Substance Abuse Coordination Committee's "Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011)"

## FISCAL IMPACT ESTIMATES

Fiscal Impact on Public Agencies Including Costs or Savings to State Agencies or Costs/Savings in Federal Funding to the State: None

Nondiscretionary Costs/Savings to Local Agencies: None

Local Mandate: None

Local Agency or School District for Which Government Code Sections 17500-17630 Require Reimbursement: None

Business Impact: The Board has made an initial determination that the proposed regulatory action would not have a significant statewide adverse economic impact directly affecting business, including the ability of California businesses to compete with businesses in other states.

Cost Impact on Affected Private Persons:

The Board has determined that this regulatory proposal will not adversely impact affected private persons (licensed occupational therapy practitioners) that operate in a competent and honest manner.

However, practitioners that have subjected their license to disciplinary action for unprofessional, incompetent, or dishonest practice may lose their privilege to practice through revocation or suspension thereby resulting in a loss of income or otherwise result in costs associated with probation. Any hardship incurred to affected disciplined occupational therapy practitioners is outweighed by the Board's mandate and purpose in protecting the health, safety, and welfare of California consumers.

Effect on Housing Costs: None

Effect on Small Business:

The Board has made an initial determination that the proposed regulatory action would not have a negative impact on small business. The proposed regulatory action is directed toward individuals that are licensed occupational therapy practitioners and are designed to streamline enforcement processes and promotes effective administration of the Board's Enforcement and Probation Programs.

## RESULTS OF ECONOMIC IMPACT ANALYSIS

Impact on Jobs/New Business: The Board has determined that this regulatory proposal will not have a significant adverse impact on the creation of jobs or new businesses or the elimination of jobs or existing businesses or the expansion of businesses in the State of California.

Benefits of the Regulation to the Health and Welfare of California Residents, Worker Safety, and the State's Environment: The proposed regulatory action will promote and protect the health, safety, and welfare of California consumers by establishing and implementing procedures that will increase the efficiency and handling of disciplinary decisions and enhance and bolster the Board's probation program and the way it deals with licensees with substance abuse issues.

## CONSIDERATION OF ALTERNATIVES

The CBOT must determine that no reasonable alternative considered it considered to the regulation or that has otherwise been identified and brought to its attention would either be more effective in carrying out the purpose for which the action is proposed or would be as effective as and less burdensome to affected private persons than the proposal described in this Notice or would be more cost-effective to the private persons and equally effective in implementing the statutory policy or other provision of law.

Any interested person may present statements or arguments orally or in writing relevant to the above determinations within the timeframes identified in this Notice, or at a hearing in the event that such a request is made by the public.

TEXT OF PROPOSAL

Copies of the exact language of the proposed regulation, and any document incorporated by reference, and of the initial statement of reasons, and all of the information upon which the proposal is based, may be obtained from the contact person listed below.

AVAILABILITY AND LOCATION OF THE FINAL STATEMENT OF REASONS AND RULEMAKING FILE:

All the information upon which the proposed regulation is based is contained in the rulemaking file, which is available for public inspection by contacting the person named below.

You may obtain a copy of the final statement of reasons once it has been prepared, by making a written request to the contact person named below or by accessing the Board's website as listed below.

CONTACT PERSON:

Inquiries or comments concerning the proposed rulemaking action may be addressed to:

Jeff Hanson
California Board of Occupational Therapy
2005 Evergreen Street, Suite 2050, Sacramento, CA 95815
(916) 263-2294 (Tel) OR (916) 263-2701 (Fax)
cbot@dca.ca.gov

The backup contact person is:

Heather Martin
California Board of Occupational Therapy
2005 Evergreen Street, Suite 2050, Sacramento, CA 95815
(916) 263-2294 (Tel) OR (916) 263-2701 (Fax)
cbot@dca.ca.gov

**Website Access: All materials regarding this proposal can be found on-line at www.bot.ca.gov > Laws and Regulations > Proposed Regulations.**

**CALIFORNIA BOARD OF OCCUPATIONAL THERAPY**
**PROPOSED MODIFIED REGULATORY LANGUAGE**
**Title 16, Division 39, California Code of Regulations**

Specific Language

Proposed amendments are shown by ~~strikeout~~ for deleted text and underlined for new text.

**a. Section 4101, Article 1, is amended to read as follows:**

**§ 4101. Delegation of Certain Functions.**

Except for those powers reserved exclusively to the "agency itself" under the Administrative Procedure Act (section 11500 et seq. of the Government Code), the power and discretion conferred by law upon the Board to order an examination pursuant to section 820 of the Code, receive and file accusations and statements of issues; issue notices of defense; determine the time and place of hearings under Section 11508 of the Government Code; issue subpoenas and subpoenas duces tecum; set and calendar cases for hearing and perform other functions necessary to the dispatch of the business of the Board in connection with proceedings under the provisions of Sections 11500 through 11528 of the Government Code, prior to the hearing of such proceedings, including the authority to grant a motion to vacate a default decision, approve a settlement agreement for revocation or surrender of a license, or approve an interim license suspension; and the certification and delivery or mailing of copies of decisions under Section 11518 of the Government Code are hereby delegated to and conferred upon the executive officer of the Board.

Note: Authority cited: Section 2570.20, Business and Professions Code. Reference: Sections 480, 2570.1, 2570.6, 2570.17, 2570.19, 2570.20, and 2570.23, Business and Professions Code and Sections 11500 et.seq.., and 11415.60, Government Code.

**b. Section 4146.5 is added to Article 5.5, to read as follows:**

**§ 4146.5. Effective Dates of Decisions**

Unless otherwise specified in an Order of the Board, the effective date of a decision made by the Board pursuant to the Administrative Procedure Act (section 11500 et seq. of the Government Code) shall be established as follows:

(a) A Default Decision and Order shall become effective 10-days from the date of service of the decision on the parties.
(b) A Stipulated Settlement and Order shall become effective 10-days from the date of service of the decision on the parties.

Note: Authority cited: Section 2570.20, Business and Professions Code. Reference: Sections 125.6, 125.9, 2570.27, 2570.28, 2570.29, 2570.30, 2570.31 and 2570.32, Business and Professions Code; and Sections 11425.50(e), 11519, and 11520, Government Code.

**c. Section 4147, Article 5.5 is amended to read as follows:**

**§ 4147. ~~Uniform Standards Related to Substance Abuse and~~ Disciplinary Guidelines.**
(a) In reaching a decision on a disciplinary action under the administrative adjudication provisions of the Administrative Procedure Act (Government Code 11400 et seq.), the Board shall consider and apply the ~~comply with the Uniform Standards Related to Substance Abuse and~~ Disciplinary Guidelines (~~July 2011~~ October 2013), which are hereby incorporated by reference. The Disciplinary Guidelines shall apply to all disciplinary matters. Deviation from these disciplinary guidelines ~~and orders~~, including the standard terms of probation, is appropriate where the Board in its sole discretion determines that the facts of the particular case warrant such deviation, e.g., the presence of aggravating or mitigating factors; age of the case; or evidentiary ~~problems~~ issues. ~~Neither the board nor an administrative law judge may impose any conditions or terms of probation that are less restrictive than the Uniform Standards Related to Substance Abuse.~~
(b) All probationers shall submit and cause each health care employer to submit quarterly reports to the Board. The reports~~,~~ "Quarterly Written Report (4/2011)" and "Work Performance Evaluation (02/2011)" shall be obtained from the Board and are hereby incorporated by reference.

Note: Authority cited: Section 2570.20, Business and Professions Code. Reference: Sections 125.6, ~~125.9, 315, 315.2, 315.4,~~ 775, 480, 481, 482, 490, 496, 2570.27, 2570.28, 2570.29, 2570.30, 2570.31 and 2570.32, Business and Professions Code; and Section 11425.50(e), Government Code.

**d. Section 4147.5 is added to Article 5.5, to read as follows:**

**§ 4147.5. Uniform Standards Related to Substance Abuse.**
(a) The Board shall also apply, as required, the Department of Consumer Affairs' Substance Abuse Coordination Committee's Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011), which are hereby incorporated by reference. The Uniform Standards describe the mandatory conditions that apply to a substance abusing licensee, except that the Board may impose more restrictive conditions if necessary to protect the public. Neither the board nor an administrative law judge may impose any conditions or terms of probation that are less restrictive than the Uniform Standards Related to Substance Abuse.
(b) If the conduct found to be grounds for discipline involves drugs and/or alcohol, the licensee shall be presumed to be a substance-abusing licensee for the purposes of section 315 of the Code. If the licensee does not rebut that presumption, in addition to any and all

relevant terms and conditions contained in the Disciplinary Guidelines, the Uniform Standards Related to Substance Abusing Licensees shall apply as written and be used in the order placing the licensee on probation.

Note: Authority cited: Section 2570.20, Business and Professions Code. Reference: Sections 315, 315.2, 315.4, 2570.27, Business and Professions Code; and Section 11425.50(e), Government Code.

CALIFORNIA BOARD OF OCCUPATIONAL THERAPY

# INITIAL STATEMENT OF REASONS

Subject Matter of Proposed Regulation: Regulations pertaining to Uniform Standards Related to Substance Abuse and Disciplinary Guidelines

Sections Affected: Title 16, Division 39, California Code of Regulation (CCR) Sections 4101, 4146.5, 4147, and 4147.5

Introduction:

The California Board of Occupational Therapy (Board) is the state governmental agency that licenses occupational therapy practitioners and regulates the practice of occupational therapy. The Board administers, coordinates, and enforces provisions of the Occupational Therapy Practice Act. The Board's highest priority in exercising its licensing, regulatory, and disciplinary functions is to protect and promote the health, safety and welfare of California consumers.

This proposed regulatory action seeks to add authority for the Board's executive officer to grant a motion to vacate a default decision, establish and create a policy to make default decisions and stipulated settlements become effective ten (10) days after service on a respondent, and amend and update the Board's Disciplinary Guidelines and Uniform Standards Related to Substance Abusing Healing Arts Licensees.

Specific Purpose of each adoption, amendment or repeal:

## AMENDMENT TO CCR SECTION 4101 – DELEGATION OF CERTAIN FUNCTIONS

This proposed regulatory would delegate the Board's power and discretion to the executive officer to grant motions to vacate default decisions on a showing of "good cause" thus allowing a respondent an administrative hearing, without having to forward the matter to the Board. This proposed regulatory action does not delegate the Board's power and discretion to the executive officer to deny a motion to vacate a default decision. In circumstances where the executive officer could not render a determination that "good cause" exists pursuant to Government Code Section 11520(c), the motion would be forwarded to the Board for consideration.

*The Board is seeking these regulatory changes due to various newspaper articles throughout the State that have documented perceived inefficiencies in the way, manner, and timeliness that regulatory agencies resolve disciplinary matters, especially as they relate to consumer protection and public safety. Existing Board procedures require enforcement staff to prepare mail ballots or arrange and coordinate a meeting of the Board to consider these motions. This extends the processing time of these disciplinary matters and results in extra mailing and meetings costs.*

*The anticipated benefit of this proposed regulatory action is more efficient and expedient processing of motions to vacate default decisions and ultimately reduced resolution times for disciplinary matters. This proposed regulatory action is a proactive approach to resolve disciplinary matters in a timely manner and addresses public concerns regarding perceived inefficiencies in the manner, way, and timeliness that disciplinary matters are resolved. This proposed regulatory action will ultimately promote and enhance the Board's mission to protect public safety.*

## ADOPT CCR SECTION 4146.5 – EFFECTIVE DATES OF DECISIONS

This proposed regulatory action would establish that decisions stemming from default, or a stipulated settlement, would go into effect ten (10) days from the date of service on a respondent unless otherwise specified in the Disciplinary Order.

Default Decisions - Pursuant to Government Code (GC) Section 11520 the Board is authorized to act when a respondent fails to request a hearing to contest charges filed against them or who fails to appear for a scheduled hearing through default. The fundamental purpose of Default Decisions is to bring finality to disciplinary matters when a respondent does not request a hearing or fails appear for a scheduled hearing. Section 11520(c) provides a respondent may file a motion to vacate a decision to avoid implementation of the license revocation to schedule a hearing or to reschedule a hearing on a showing of "good cause." Pursuant to GC Section 1520(c), a respondent must submit a written motion requesting the Board vacate the decision within seven (7) days from the date respondent is served notice of the Board's decision to proceed with license revocation by default.

Pursuant to GC Section 11519(a), default decisions become effective 30 days from the date of service on a respondent unless the Board specifies a lesser period. This proposed regulatory action would establish that default decisions adopted by the Board would become effective ten days from the date of service of the decision since a respondent only has seven days to file a motion requesting the decision be vacated (or set aside). Thus, an effective date of 30 days from the date of service is not necessary; having the decision become effective ten days from the date of service provides more timely and efficient resolution of the disciplinary matter.

Stipulated Settlements - Stipulated Settlements and Disciplinary Orders are a result of negotiations between a respondent and their counsel, if applicable, the Office of the Attorney Generals (AGO), and coordinated with Board staff subsequent to respondent filing notice they wish to contest the charges filed against them in an administrative hearing. Often proposed settlement agreements are negotiated and agreed upon by the respondent a month or more in advance of the Board's opportunity to review and adopt or not-adopt the proposed settlement placing a respondent on probation, or acceptance by the executive officer of a settlement involving license surrender or revocation. Since the respondent has agreed to the terms and conditions of the settlement (and in doing so, voluntarily waives all other rights afforded in the Administrative Procedures Act) any element of surprise or need for time to formulate an appeal or request reconsideration is eliminated.

Existing Board procedures make stipulated settlements effective 30-days from the date the respondent is served notice the settlement has been adopted by the Board, unless the Board specifies a lesser period as authorized under Government Code Section 11519(a). This proposed regulatory action would make stipulated settlements effective ten (10) days after service to respondent that the settlement has been adopted by the Board or accepted by the executive officer.

*The Board is seeking these regulatory changes to more timely and efficiently resolve disciplinary matters including removing from practice a licensee whose license is revoked or Board-monitoring of a licensee placed on probation. Settlements provide consumer protection in a cost-effective manner.*

*Moreover, these changes address the concerns of perceived inefficiencies of regulatory agencies documented in various newspaper articles throughout the State. This proposed action is designed to address these concerns by adopting methods and procedures that streamline and reduce disciplinary action processing times without infringing on or inhibiting a respondent's rights, while increasing the protection of California's consumers.*

*The anticipated benefit of this proposed regulatory action is more efficient and expeditious processing and handling of final disciplinary decisions stemming from default decisions and stipulated settlements. This proposed regulatory action is a proactive approach to addresses public concerns regarding perceived inefficiencies in the manner, way, and timeliness that disciplinary matters are resolved. This proposed regulatory action is consistent with and promotes the Board's mission to protect public safety.*

## AMEND SECTION 4147 – DISCIPLINARY GUIDELINES

Disciplinary Guidelines are designed to bring consistency to disciplinary decisions. They identify maximum and minimum penalties for various acts and offenses that constitute violations and establish and set forth probation terms that are appropriate to the act(s) or offense(s). Disciplinary Guidelines are used by administrative law judges, attorneys, occupational therapy practitioners, the Board, and others involved in the disciplinary process.

<u>Text of 4147</u>

This proposed regulatory action strikes all existing references relating to the "Uniform Standards Related to Substance Abuse" and moves it to a newly created Section numbered 4147.5. The proposed regulatory action amends existing text in the Section 4147 by adding "aggravating" factors to examples that are to be considered when or if there is a deviation in a Disciplinary Order. It also makes a minor technical edit by deleting the word "problems" and replaces it with "issues" as it relates to evidence within meaning of this Section. This amendment is necessary to establish and make clear that both "mitigating" and "aggravating" factors may be considered when deviating from recommended penalties.

Disciplinary Guidelines Document (Incorporated by Reference)

The Board's existing Disciplinary Guidelines document incorporates the Uniform Standards Related to Substance Abuse into a single document. This proposed regulatory action will strike all existing text related to the Uniform Standards Related to Substance Abuse from the Disciplinary Guidelines to make each a distinct, stand-alone document.

As a result several minor technical edits are required to the cover, revision date, Table of Contents, and page numbering due to the deletion of existing language and addition of new language.

Amendment to Introduction: The sentence "For the purposes of this document, the term "license" includes the occupational therapy assistant certificate" is being deleted since it is no longer necessary to draw this distinction. SB 821, Chapter 307, Statutes 2009, was passed establishing that occupational therapy assistants shall be referred to as being "licensed" as opposed to "certified".

Amendment to Section IV: A minor technical edit is being affected to the existing title "Disciplinary Guidelines Penalties For Violations-Minimum/Maximum" to "Penalties For Violations Minimum/Maximum. This section identifies maximum and minimum penalties for various violations and offenses. It also identifies standard and optional probation terms that should be considered in disciplinary orders placing a respondent on probation based on the violation(s) or offense(s) that were committed. In addition to existing language contained in this section the Board is proposing to add the following violations, minimum and maximum penalties, and recommended probation terms for the following:

2570.185 – Patient Records

Maximum: Revocation
Minimum: Stayed revocation and 1 year probation under the following conditions:
(a) Standard conditions #1-#14
(b) Option condition number 28

2570.36 – Required Reporting of Violations to the Board

Maximum: Revocation
Minimum Stayed revocation and 1 year probation
(a) Standard conditions #1-#14

123 – Conduct constituting subversion of licensing examination; penalties and damages

Maximum: Denial of application for licensure or revocation
Minimum: Stayed revocation and 3 years of probation under the following conditions:
(a) Standard conditions #1-#14

498 – Fraud, deceit or misrepresentation as grounds for action against license

Maximum: Revocation
Minimum: Stayed revocation and 3 years of probation under the following conditions:
(a) Standard conditions #1-#14

499 – Action against license based on licentiates actions regarding application of another

Maximum: Revocation
Minimum: Stayed revocation and 2 years on probation under the following conditions:
(a) Standard conditions #1-#14

581 – Purchase or fraudulent alteration of diplomas or other writings

Maximum: Revocation
Minimum: Stayed revocation and 3 years of probation under the following conditions:
(a) Standard conditions #1-#14

582 – Use of illegally obtained, altered, or counterfeit diploma, certificate, or transcript

Maximum: Revocation
Minimum: Stayed revocation and 3 years of probation under the following conditions:
(a) Standard conditions #1-#14

583 – False statements in documents or writings

Maximum: Revocation
Minimum: Stayed revocation and 2 years of probation under the following conditions:
(a) Standard conditions #1-#14

584 – Violation of examination

Maximum: Revocation
Minimum: Stayed revocation and 3 years of probation under the following conditions:
(a) Standard conditions #1-#14

17500 – False or misleading statements

Maximum: Revocation
Minimum: Stayed revocation and 2 years of probation under the following conditions:
(a) Standard conditions #1-#14

This proposed regulatory action also makes a minor technical change to the existing title pertaining to Section 810 from "Fraudulent Claims" to "Grounds for disciplinary action against health care professional"

Section V - Standard Conditions of Probation

These conditions are to be included in all cases relating to probation and are numbered #1-#14. The Board is proposing to amend the following existing terms and establishing a new condition (#12) prohibiting a probationer from instructing continuing competency or continuing education courses as further described below:

Amend Term #1-Obey All Laws

Existing language requires a respondent to obey all federal, state, and local laws and regulations governing the practice of occupational therapy in California. The Board is deleting the language that specifically references occupational therapy regulations because it is unnecessary. Compliance of all federal, state, and local laws would include any regulations. Existing language requires a respondent to notify the Board in writing, within 5-days, of any violation of the law. The Board is striking reference to any "violation" of law amending the language to clarify that such notifications shall occur with "arrests and convictions". In addition, the Board is adding language to this condition that will establish and clarify that any failure to abide with a criminal court order or other regulatory agency order will constitute a violation of this condition.

Amend Term #2-Compliance with Probation and Quarterly Reporting

Existing language specifies that a respondent shall fully comply with the terms and conditions of probation and cooperate with representatives of the Board. The Board is proposing to clarify and enhance this term by adding language that within the meaning of this term a respondent is responsible for completing all requirements necessary to implement probation. Amendments to this term also will establish and clarify that any failure to respond to the Board within a specified time period or any failure to accept or pick up certified mail shall constitute a violation of this term.

Amend Term #4-Notification of Address and Telephone Number Changes(s)

Existing language requires a respondent to notify the Board in writing, within five (5) days of any change in residence, work, and both residence and work telephone numbers. Amendment to the term will now require a respondent notify both the Board and his or her probation monitor of any of these changes. The amendment also clarifies that if a respondent uses a Post Office Box for mailing purposes, he or she must also provide his or her physical residence address.

Amend Term #5-Tolling for Out-of-State Practice, Residence or Extension of Probation for In-State Non-Practice

Existing language establishes that if a respondent is practicing or residing out-of-State, or is not practicing in California, his or her probation is tolled (suspended, the probation term does not run). Within the meaning of this term, it identifies several conditions that remain applicable and in effect even though probation is tolled (e.g. respondent is still required to submit quarterly reports, complete examination requirements, and complete education assignments). Amendments to this term seek to clarify and establish that the

address change requirement in term #4 and cost recovery requirement in term #11 would remain in effect in the event probation is tolled.

Amend Term #6-Notification to Employers(s)
Existing language establishes that a respondent must notify his or her employer and supervisor that his/her license has been placed on by providing them with a copy of the disciplinary order. Existing language establishes that the Board be furnished the name, address, and telephone number of the respondent's health related employer(s) and supervisor(s). Existing language establishes a respondent is responsible for having his or her employer submit quarterly work performance evaluations to the Board. Amendments to this term clarify and establish that a respondent shall request and obtain the Board's written approval to deliver occupational therapy services in health related employment settings. Amendments also clarify and establish that email addresses and fax numbers shall also be provided for a respondent's employer(s) and supervisor(s) and that an authorization and consent form be signed by respondent to facilitate communication between the employer, supervisor, and the Board. Further amendments outline the Board's expectation for a supervisor to notify the Board immediately of any instance of suspected substance abuse on behalf of a respondent.

Amend term #7-Employment Requirements and Limitations
Existing language establishes that a respondent must work in his or her licensed capacity while on probation. Existing language identifies work settings that typically do not afford a great degree of supervision or no supervision and are prohibited except as approved in writing by the Board. Amendments to this term will establish that 40 hours of work per month will constitute practice. Amendment to this term adds language clarifying that placement agencies, third party employers, home health, and working as a traveler, would require a respondent to secure the Board's written approval to function in these capacities in advance of commencing employment. Amendment to this term also clarifies that in the event a cease practice order is issued or a respondent's license is temporarily suspended, the period of probation shall be extended for that period of time. Deletion of reference that a respondent must work no less than six (6) continuous months is not necessary, is confusing, and conflicts with language in term #5 that establishes a Respondent's probation is tolled for non-practice. Further reference that a respondent shall work in his or her licensed capacity is being struck because it is redundant since it is also established in term #5.

Amend term #8-Supervision Requirements
Existing language prohibits a respondent from functioning as a supervisor during the period of probation except as approved in writing by the Board. Modification to this term clarifies that such written approval must be provided in advance of any respondent functioning as a supervisor.

Amend term #9-Continuing Education Requirements
Existing language establishes that the Board shall assign continuing education that is relevant to the violation committed. Modification to this term will establish the deadline to complete the continuing education assignment shall be within six months of the effective date respondent was placed on probation.

Amend term #11-Cost Recover Requirements
Existing language establishes where cost recovery is ordered, the respondent shall make timely payment as directed. Modification to this term will allow a respondent to propose a payment plan of their own as long as full reimbursement is received six months prior to the end of the probation terms. Amendment to this term will also delete existing confusing language that is contained in Business and Professions Code Section 125.3, authorizing the Board to conditionally renew or reinstate a license due to financial hardship. Deletion of this language from the term does not mean a respondent will be prohibited from requesting an extension under Section 125.3 for financial hardship.

Establish (new) term #12-Instruction of Continuing Competency/Continuing Education Coursework
The Board is proposing to establish a new standard term of probation that would prohibit a respondent that has been placed on probation from instructing or teaching continuing education coursework or any courses used to satisfy advanced practice requirements.

Amend existing term #12 to #13-Violation of Probation
Existing language establishes that if a respondent violates any term or condition of probation the Board can seek to revoke probation. In the event an Accusation or Petition to Revoke Probation is filed probation shall be extended until the matter becomes final. Proposed modification to the term establishes and clarifies that in the event an Accusation or petition to Revoke Probation is filed thereby extending probation, respondent shall continue to abide by all terms and conditions associated with the order that placed them on probation.

Section VI-Optional Conditions of Probation
Existing current Optional Conditions of Probation are numbered #14-#31. Since the proposed new addition of standard term #12, optional terms are now re-numbered #15-#32 and remain in the same exiting order.

Amend existing term #14 to #15-Examination by Physician
Existing language establishes that the Board may require a respondent to submit to a physical evaluation by a physician and surgeon within 60-days of the effective date of the decision. Existing language established the physician and surgeon shall submit his or her report regarding the respondent's fitness to practice to the Board within 90-days of the effective date of decision. Proposed modifications to this term reduce the timeframe for a respondent to submit to a physical evaluation from 60-days to 45-days and that the respondent's choice of physician and surgeon to perform the evaluation must be approved by the Board. Proposed modification to this term reduces the timeframe for the approved physician and surgeon to submit his or her report to the Board from 90-days to 60-days.

Amend existing term #15 to #16-Psycological Evaluation
Existing language establishes the Board may require a respondent to submit to a psychiatric/psychological evaluation within 60-days of the effective date of the decision.

Existing language establishes that the evaluator submit his or her report regarding respondent's fitness to practice to the Board within 90-days of the effective date of the decision. Proposed modifications to this term reduce the timeframe for respondent to submit to the evaluation from 60-days to 45-days and that the respondent's choice of evaluator to perform the evaluation must be approved by the Board. Proposed modification to this term reduces the timeframe for the approved evaluator to submit his or her report to the Board from 90-days to 60-days.

Amend existing term #16 to #17-Psychotherapy
Existing language establishes the Board may require a respondent participate in psychotherapy and provide the names of one or more proposed therapists within 60-days of the effective date of the decision. Existing language establishes the psychotherapist must submit his or her initial report to the board within 90-days of the effective date of the decision. Proposed modifications to this term reduce the timeframe for a respondent to secure therapist approval from 60-days to 45-days. Proposed modifications establish that the respondent shall commence with therapy within 10-days of receiving notice a therapist has been approved by the Board. Proposed modifications will reduce the timeframe for the approved psychotherapist to submit his or her initial report to the Board from 90-days to 60-days. Proposed modifications clarify that in the event the therapist finds the respondent is not fit to practice, or can only practice safely with restrictions he or she must notify the Board within 5 working days.

Amend existing term #19c to #20c-Group Support/Recovery Meetings
Existing language establishes the Board may require a respondent to attend support or recovery group meetings (e.g. Alcohol Anonymous, Narcotics Anonymous, other similar facilitated groups, etc.) to support his or her recovery efforts and submit verification of attendance with his or her quarterly written report. Proposed modification to the language will establish and clarify that the Board may request documentation verifying attendance in support/recovery groups at any time.

Amend existing term #20 to #21-Abstain from Controlled Substances
Existing language establishes the Board may require a respondent to abstain from the personal use or possession of controlled substances, barring legally prescribed medications for a bona fide illness or condition. Existing language requires a respondent who has been prescribed medications to have his or her prescribing health professional submit a report to the Board within 14-days verifying the prescription and other pertinent information. Proposed modification to the language adds "except" to the language qualifying that this term does not apply to lawfully prescribed medications for a bona fide illness or condition. Proposed modification to the language also clarifies that the respondent shall cause the prescribing health professional to submit a report to the Board regarding refills or upon any new order extending an existing prescription.

Amend existing term #22 to #23-Submit Biological Fluid or Specimen Samples
Existing language establishes the Board may impose drug and/or alcohol testing to verify that a respondent is abstaining from dangerous or controlled substances and/or alcohol, barring any medication that is legally prescribed. Within the meaning of this section the Board is proposing to have two versions (a) and (b) as further described below:

Proposed language for term #23a would be applied to a respondent that has been determined to meet the definition of a "substance abusing licensee" pursuant to newly proposed California Code of Regulations section 4148(b). Modifications proposed to existing language serves to establish and clarify that a respondent shall enroll in the Board's drug-testing program within 2-days of the effective date of probation and otherwise comply with contracting requirements with the Board's testing vendor . Modifications to existing language regarding the frequency of testing is being aligned with the Uniform Standards for Substance-Abusing Healing Arts Licensees (April 2011) or more specifically testing in the first year of probation shall be 52-104 times per year and for subsequent years 36-104 times per year. Modification to existing language will clarify and establish a respondent may request, in writing, a modification to the frequency of testing after the first year of probation.

Proposed language for term #23b would be applied to a respondent that committed a violation involving drugs and/or alcohol but who is not considered to be a "substance abusing licensee". The primary difference between terms #23a and #23b, is the degree and frequency of drug/alcohol testing. This condition is necessary in the event that a licensee successfully rebuts the presumption that they are a substance abusing licensee in CCR Section 4147.7(b) but who opinion of an ALJ or the Board drug and/or alcohol testing is still necessary to preserve public protection, although at a lesser level.

Amend existing term #24 to #25-Worksite Monitor
Existing language allows for the possibility for the Board to establish and approve a work site monitor to monitor a respondent's work performance. Amendment to this term will establish that a respondent will be required to complete a consent form to facilitate and allow free communication between the worksite monitor and the Board.

Recommended Language for Issuance and Placement of a License on Probation and Reinstatement of a License.
In order to assist administrative law judges with orders regarding these matters the Board is providing examples or template language that may be used specific to these situations.

*The Board is seeking these changes to effectively implement, establish, and bring clarity and transparency to legislation (SB 1441, Chapter 548, Statutes 2008) mandating consistency and uniformity in the way health related regulatory agencies deal with substance abusing healing arts licensees.*

*The Board is seeking to amend to its Disciplinary Guidelines to incorporate several general codes and provisions that constitute violations which were not listed in the existing guidelines and identify appropriate minimum and maximum penalties for those violations or offenses; and if warranted identify appropriate probation terms and conditions. This will alleviate any necessity to applying codes that are generally applicable, as opposed to the specificity provided in the codes that are being added.*

*The Board is seeking to amend its existing terms and conditions of probation to expand, and bring clarity to the many facets and details surrounding the terms and conditions,*

*their meaning, foster communication, eliminate conflict, and otherwise clearly establish behavioral expectations of licensee's that are placed on probation. The proposed amendments aligns the frequency of drug and/or alcohol testing with that of current standards developed by the Department of Consumer Affairs' Substance Abuse Coordination Committee and otherwise tightens deadline dates for probationers to accomplish various tasks associated with their Disciplinary Order (e.g. completing continuing education, submitting to psychological or physical evaluations, etc.). In expanding and clarifying the requirements and expectations for probationers, the Board will be in a better position to be successful in administrative proceedings to seek further discipline against a licensee for violations of the terms and conditions.*

*The anticipated benefit of this proposed regulatory action is more effective, efficient, and consistent administration and handling of Disciplinary Decisions and monitoring of licenses that have been placed on probation. The proposed regulatory action ultimately provides increased protection to the public as it relates to practitioners that have been placed on probation and is otherwise consistent with the Board's mandate to administer and regulate standards related to the profession and protect public safety.*

**ADOPT CCR SECTION 4147.5 – UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE**

All existing reference and language pertaining to the Uniform Standards for Substance Abuse is being struck from Section 4147 and moved to this newly proposed Section 4147.5.

The Uniform Standards Related to Substance Abuse set forth mandatory conditions that apply to substance abusing licensees. Adoption of Section 4147(a) will incorporate by reference the most up to date version of the Department of Consumer Affairs' Substance Abuse Coordination Committee's (SACC) Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011) into regulation.

Adoption of Section 4147(b) will establish that any licensee or applicant that has been found to have committed an act or offense involving drugs and/or alcohol shall be presumed to be a substance abusing licensee. However, language contained in this proposed regulatory action allows for a respondent to refute the presumption by providing evidence and testimony of his or her behalf. This proposed regulatory action establishes and clarifies that situations where a licensee or applicant was not successful refuting the presumption, the Uniform Standards Related to Substance Abusing Healing Arts Licensee shall apply as written and be used in the order placing the licensee or applicant on probation.

*The Board is seeking these changes to incorporate the current and total embodiment of the SACC's Uniform Standards Regarding Substance Abusing Healing Arts Licensees (April 2011) into regulation. Existing language relating to the Uniform Standards was incorporated with the Board's existing Disciplinary Guidelines and was not a complete embodiment of the initial version of SACC's Uniform Standards. The Board's existing Uniform Standards were distilled down to incorporate issues and items that pertained directly to a licensee (probationer) and omitted items and issues that pertained to the*

*Board. This proposed regulatory action separates the Disciplinary Guidelines and Uniform Standards Related to Substance Abuse and makes all aspects of the Uniform Standards transparent in keeping with the spirit and intent of SB 1441, Chapter 548, Statutes 2008. Since there are varying opinions and arguments that can be made on what constitutes a "substance abusing licensee" this proposed regulatory action will establish a definition or parameters in Section 4147(b) to address the issue thereby establishing when the Uniform Standards for Substance Abusing Healing Arts Licensees (April 2011) applies.*

*The anticipated benefit of this proposed regulatory action is enhanced and improved administration, coordination, and enforcement of disciplinary matters where licensees have been found to have used or abused controlled substances and/or alcohol in an illegal or dangerous manner. This proposed regulation will protect the public by establishing consistent and uniform standards on how the Board deals with substance abusing licensees.*

DOCUMENTS INCORPORATED BY REFERENCE:

- California Board of Occupational Therapy Disciplinary Guidelines (October 2013)
- Uniform Standards Regarding Substance-Abusing Healing Arts Licensees (April 2011)

UNDERLYING DATA:

None

FISCAL IMPACT IN GENERAL:

This proposed regulatory action will not have a significant adverse economic impact on business.

This proposed regulatory action will not have an adverse economic impact on affected individuals (licensees who fall under the Board's jurisdiction) who comply with the laws, regulations, and standards of occupational therapy practice.

ECONOMIC IMPACT ANALYSIS/ASSESSMENT

Background

This proposed regulatory action deals with the way the Board administers, coordinates, and enforces disciplinary matters and decisions against licensees and applicants and how it administers and enforces its probation program and handling of licensees with substance abuse issues.

Creation or Elimination of Jobs Within California

The Board has determined the proposed regulatory action will not create or eliminate a significant number of jobs within California. The Board is mandated to coordinate, regulate, and enforce standards relating to the profession of occupational therapy. The highest priority of the Board is public protection. Thus when appropriate the Board is compelled to initiate disciplinary action against practitioners who violate occupational therapy standards of practice and revokes the individual's privilege to practice for the sake of public safety.

Creation of New Business or Elimination of Existing Business Within California

The Board has determined the proposed regulatory action will not create new business or eliminate existing business within California.

Expansion of Business Within California

The Board has determined the proposed regulatory action will not expand business within California.

Benefits of Regulations

The proposed regulatory action will promote and protect the health, safety, and welfare of California consumers by establishing and implementing procedures that will increase the efficiency and handling of disciplinary decisions and enhance and bolster the Board's probation program and the way it deals with licensees with substance abuse issues.

Specific Technologies or Equipment

This regulation does not mandate the use of specific technologies or equipment.

CONSIDERATION OF ALTERNATIVES:

No reasonable alternative to the regulation would be either more effective in carrying out the purpose for which the action is being proposed or would be less burdensome to affected private persons and business than the proposed regulations.

# California Board of Occupational Therapy

# ~~UNIFORM STANDARDS~~
# ~~RELATED TO SUBSTANCE ABUSE~~
# ~~AND~~
# DISCIPLINARY GUIDELINES

**~~July 2011~~ October 2013**

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**Additional copies of this document may be obtained by contacting the Board at its office in Sacramento, California or from its web site at www.bot.ca.gov.**

CALIFORNIA BOARD OF OCCUPATIONAL THERAPY

# ~~UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE AND~~ DISCIPLINARY GUIDELINES

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**~~UNIFORM STANDARDS FOR THOSE LICENSEES WHOSE LICENSE IS ON PROBATION DUE TO A SUBSTANCE ABUSE PROBLEM~~**

~~The following standards shall be adhered to in all cases in which a licensee's license is placed on probation due, in part, to a substance abuse problem. These standards are not guidelines and shall be followed in all instances, except that the Board may impose more restrictive conditions if necessary to protect the public.~~

**~~Clinical Diagnostic Evaluations:~~**

~~Whenever a licensee is ordered to undergo a clinical diagnostic evaluation, the evaluator shall be a licensed practitioner who holds a valid, unrestricted license which scope of practice authorizes him or her to conduct clinical diagnostic evaluations, has three (3) years experience in providing evaluations of health care professionals with substance abuse disorders, and is approved by the Board. The evaluations shall be conducted in accordance with acceptable professional standards for conducting substance abuse clinical diagnostic evaluations.~~

**~~Clinical Diagnostic Evaluation Report:~~**

~~The clinical diagnostic evaluation report shall set forth, in the evaluator's opinion, whether the licensee has a substance abuse problem, whether the licensee is a threat to himself or herself or others, and recommendations for substance abuse treatment, practice restrictions, or other recommendations related to the licensee's rehabilitation and safe practice.~~

~~The evaluator shall not have a financial, personal, or business relationship with the licensee within the last five (5) years. The evaluator shall provide an objective, unbiased, and independent evaluation.~~

~~If the evaluator determines during the evaluation process that a licensee is a threat to himself or herself or others, the evaluator shall notify the board within 24 hours of such a determination.~~

~~For all evaluations, a final written report shall be provided to the board no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed 30 days.~~

~~The Board shall review the clinical diagnostic evaluation to help determine whether or not the licensee is safe to return to either part-time or full-time practice and what restrictions or recommendations should be imposed on the licensee based on the application of the following criteria:~~

~~License type, licensee's history, documented length of sobriety, scope and pattern of substance abuse, treatment history, medical history, current medical condition, nature, duration and severity of substance abuse problem, and whether the licensee is a threat to himself or herself or others.~~

~~When determining if the licensee should be required to participate in inpatient, outpatient or any other type of treatment, the Board shall take into consideration the recommendation of~~

~~the clinical diagnostic evaluation, license type, licensee's history, length of sobriety, scope and pattern of substance abuse, treatment history, medical history, current medical condition, nature, duration and severity of substance abuse and whether the licensee is a threat to himself or herself or others.~~

**~~FACILITATED GROUP SUPPORT MEETINGS~~**

~~If a board requires a licensee to participate in facilitated group support meetings, the following shall apply:~~

~~When determining the frequency of required facilitated group meeting attendance, the board shall give consideration to the following:~~

- ~~the licensee's history;~~
- ~~the documented length of sobriety/time that has elapsed since substance use;~~
- ~~the recommendation of the clinical evaluator;~~
- ~~the scope and pattern of use;~~
- ~~the licensee's treatment history; and,~~
- ~~the nature, duration, and severity of substance abuse.~~

~~Group Meeting Facilitator Qualifications and Requirements:~~

~~1. The meeting facilitator must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse, and shall be licensed or certified by the state or other nationally certified organizations.~~

~~2. The meeting facilitator must not have a financial relationship, personal relationship, or business relationship with the licensee in the last five (5) years.~~

~~3. The group meeting facilitator shall provide to the board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.~~

~~4. The facilitator shall report any unexcused absence within 24 hours.~~

**~~WORK SITE MONITOR REQUIREMENTS:~~**

~~If a Board determines that a worksite monitor is necessary for a particular licensee, the worksite monitor must meet the following requirements to be considered for approval by the Board:~~

~~The worksite monitor shall not have a current or former financial, personal, or familial relationship with the licensee, or other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the Board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the Board; however, under no circumstances shall a licensee's worksite monitor be an employee or supervisee of the licensee.~~

~~The worksite monitor's license scope of practice shall include the scope of practice of the licensee who is being monitored or be another health care professional if no monitor with like scope of practice is available.~~

~~The worksite monitor shall have an active unrestricted license, with no disciplinary action within the last five (5) years.~~

~~The worksite monitor shall sign an affirmation that he or she has reviewed the terms and~~

~~conditions of the licensee's disciplinary order and agrees to monitor the licensee as set forth by the Board.~~

~~The worksite monitor must adhere to the following required methods of monitoring the licensee:~~

~~a) Have face-to-face contact with the licensee in the work environment on as frequent a basis as determined by the Board, but at least once per week.~~
~~b) Interview other staff in the office regarding the licensee's behavior, if applicable.~~
~~c) Review the licensee's work attendance.~~

~~Reporting by the worksite monitor to the Board shall be as follows:~~

~~Any suspected substance abuse must be orally reported to the Board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the Board's normal business hours the oral report must be within one (1) hour of the next business day. A written report shall be submitted to the Board within 48 hours of occurrence.~~

~~The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include: the licensee's name; license number; worksite monitor's name and signature; worksite monitor's license number; worksite location(s); dates licensee had face-to-face contact with monitor; worksite staff interviewed, if applicable; attendance report; any change in behavior and/or personal habits; any indicators that can lead to suspected substance abuse.~~

~~The licensee shall complete the required consent forms and sign an agreement with the worksite monitor and the Board to allow the Board to communicate with the worksite monitor.~~

***~~Major and Minor Violations~~***

~~If a licensee commits a major violation, the Board shall order the licensee immediately to cease any practice of occupational therapy, immediately contact the licensee to inform him or her that he or she has been ordered to cease practice and that he or she may not practice unless notified by the Board, and refer the matter for disciplinary action or other action as determined by the Board.~~

~~Major Violations include, but are not limited to, the following:~~

~~1. Failure to complete a board-ordered program;~~
~~2. Failure to undergo a required clinical diagnostic evaluation;~~
~~3. Committing multiple minor violations of probation conditions and terms;~~
~~4. Treating a patient while under the influence of drugs or alcohol;~~
~~5. Committing any drug or alcohol offense that is a violation of the Business and Professions Code, or other state or federal law;~~
~~6. Failure to obtain biological testing for substance abuse when ordered;~~
~~7. Testing positive for a banned substance;~~
~~8. Failing to maintain a current account with drug testing vendor;~~

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~~8. 9. Knowingly using, making, altering or possessing any object or product in such a way as to defraud a drug test designed to detect the presence of alcohol or a controlled substance.~~

~~If a licensee commits a minor violation, the Board shall determine what action is appropriate.~~

~~Minor Violations include, but are not limited to, the following:~~

~~1. Failure to submit required documentation in a timely manner;~~
~~2. Unexcused attendance at required meetings;~~
~~3. Failure to contact a monitor as required;~~
~~4. Failure to contact or respond to the drug testing vendor's Medical Review Officer;~~
~~5. Failure to make daily contact with drug testing vendor as directed by the Board to determine if he or she must submit to drug testing;~~
~~6. Failure to maintain an adequate supply of chain of custody forms;~~
~~4. 7. Any other violations that do not present an immediate threat to the licensee or to the public.~~

***~~DRUG TESTING STANDARDS~~***

~~If a licensee tests positive for a banned substance, the Board shall order that the licensee immediately cease any practice of occupational therapy, and immediately contact the licensee to inform him or her that he or she has been ordered to cease practice and that he or she may not practice until the Board determines that he or she is able to safely practice. The Board shall also immediately notify the licensee's employer that the licensee has been ordered to cease practice, and that he or she may not practice until the Board determines that he or she is able to safely practice.~~

~~The following drug testing standards shall apply to each licensee subject to drug testing:~~

1. ~~Licensees shall be randomly drug tested at least 104 times per year for the first year or probation, and at any time as directed by the board. After the first year, licensees who are practicing, shall be randomly drug tested at least 50 times per year, and at any time as directed by the board.~~

2. ~~Drug testing may be required on any day, including weekends and holidays.~~

3. ~~Except as directed, the scheduling of drug tests shall be done on a random basis, preferably by a computer program.~~

4. ~~Licensees shall be required to make daily contact as directed to determine if drug testing is required.~~

5. ~~Licensees shall be drug tested on the date of notification as directed by the board.~~

6. ~~Specimen collectors must either be certified by the Drug and Alcohol Testing Industry Association or have completed the training required to serve as a collector for the U.S.~~

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~~Department of Transportation.~~

7. ~~Specimen collectors shall adhere to the current U.S. Department of Transportation Specimen Collection Guidelines.~~

8. ~~Testing locations shall comply with the Urine Specimen Collection Guidelines published by the U.S. Department of Transportation, regardless of the type of test administered.~~

9. ~~Collection of specimens shall be observed.~~

10. ~~Prior to vacation or absence, alternative drug testing location(s) must be requested by the licensee and approved in advance by the board.~~

11. ~~Laboratories shall be certified and accredited by the U.S. Department of Health and Human Services.~~

12. ~~A chain of custody form shall be used on all specimens.~~

~~A collection site must submit a specimen to the laboratory within one (1) business day of receipt. A chain of custody shall be used on all specimens. The laboratory shall process results and provide legally defensible test results within seven (7) days of receipt of the specimen. The Board will be notified of non-negative test results within one (1) business day and will be notified of negative test results within seven (7) business days.~~

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# DISCIPLINARY GUIDELINES

## *I. INTRODUCTION*

To establish consistency in disciplinary penalties for similar offenses on a statewide basis, the California Board of Occupational Therapy (Board) has adopted these uniform disciplinary guidelines for particular violations. This document, designed for use by attorneys, administrative law judges, occupational therapists, occupational therapy assistants, others involved in the disciplinary process, and ultimately the Board, may be revised from time to time and shall be distributed to interested parties upon request.

These guidelines include general factors to be considered, probationary terms, and guidelines for specific offenses. The guidelines for specific offenses reference the applicable statutory and regulatory provision(s).

~~For purposes of this document, the term "license" includes the occupational therapy license and the occupational therapy assistant certificate.~~ The terms and conditions of probation are divided into two general categories:

(1) Standard Conditions are those conditions of probation which will generally appear in all cases involving probation as a standard term and condition; and
(2) Optional Conditions are those conditions which address the specific circumstances of the case and require discretion to be exercised depending on the nature and circumstances of a particular case.

Except as provided in the Uniform Standards Related to Substance Abuse, the Board recognizes that these recommended penalties and conditions of probation are merely guidelines and that mitigating or aggravating circumstances and other factors may necessitate deviations, as discussed herein. If there are deviations from the guidelines, the Board requests that the Administrative Law Judge hearing the matter include an explanation in the Proposed Decision so that the circumstances can be better understood and evaluated by the Board upon review of the Proposed Decision and before final action is taken.

Additional copies of this document may be obtained by contacting the Board at its office in Sacramento, California or from its web site at www.bot.ca.gov.

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## *II. GENERAL CONSIDERATIONS*

The Board requests that Proposed Decisions following administrative hearings include the following:

a. Specific code sections violated with their definitions.
b. Clear description of the violation.
c. Respondent's explanation of the violation if he/she is present at the hearing.
d. Findings regarding aggravation, mitigation, and rehabilitation where appropriate.
e. When suspension or probation is ordered, the Board requests that the disciplinary order include terms within the recommended guidelines for that offense unless the reason for departure from the recommended terms is clearly set forth in the findings and supported by the evidence.

Factors to be Considered - In determining whether revocation, suspension or probation is to be imposed in a given case, factors such as the following should be considered:

1. Nature and severity of the act(s), offense(s), or crime(s) under consideration.
2. Actual or potential harm to any consumer, client or the general public.
3. Prior disciplinary record.
4. Number and/or variety of current violations.
5. Mitigation evidence.
6. Rehabilitation evidence.
7. In the case of a criminal conviction, compliance with terms of sentence and/or court-ordered probation.
8. Overall criminal record.
9. Time passed since the act(s) or offense(s) occurred.
10. Whether or not the respondent cooperated with the Board's investigation, other law enforcement or regulatory agencies, and/or the injured parties.
11. Recognition by respondent of his or her wrongdoing and demonstration of corrective action to prevent recurrence.

## *III. DEFINITION OF PENALTIES*

***Revocation***: Loss of a license as the result of any one (1) or more violations of the Occupational Therapy Practice Act. Revocation of a license is permanent, unless the respondent takes affirmative action to petition the Board for reinstatement of his/her license and demonstrates to the Board's satisfaction that he/she is rehabilitated.

***Suspension***: Invalidation of a license for a fixed period of time, not to exceed one (1) year.

***Stayed Revocation***: Revocation of a license, held in abeyance pending respondent's compliance with the terms of his/her probation.

***Stayed Suspension***: Suspension of a license, held in abeyance pending respondent's compliance with the terms of his/her probation.

***Probation***: A period during which a respondent's discipline is stayed in exchange for respondent's compliance with specified conditions relating to improving his/her conduct or preventing the likelihood of a recurrence of the violation.

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## *IV. ~~DISCIPLINARY GUIDELINES~~ PENALTIES FOR VIOLATIONS-MINIMUM/MAXIMUM*

The offenses are listed by statute number in the Business and Professions Code. The standard terms of probation as stated herein shall be included for all probations. The optional conditions of probation as stated herein are to be considered and imposed along with any other optional conditions if facts and circumstances warrant. The number(s) in brackets listed after each condition of probation refers to the conditions listed on pages ~~8-14~~ 13-24.

**BUSINESS AND PROFESSIONS CODE SECTIONS – Occupational Therapy Practice Act**

2570.185. – Patient Records

Maximum: Revocation
Minimum: Stayed revocation and 1 year probation on the following conditions:
a. Standard conditions [#1-#14]
b. Optional condition [28]

Section 2570.23 - Unlicensed Person Engaging in Practice - Sanctions

Applicant Maximum: Denial of application for a license

Applicant Minimum: Thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1- ~~#13~~ 14]
b. Optional conditions [# ~~26~~ 27 and # ~~30~~ 31]

Section 2570.28(a)(1),(2),or(3): Unprofessional Conduct – Incompetence, Gross Negligence, Repeated Negligent Acts, Conviction of Practicing Medicine

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1- ~~#13~~ 14]
b. Optional conditions ~~[#23, #25, # 26, #28, # 30]~~ [#24, #26, #27, #29, #31]

Section 2570.28(a)(4): Unprofessional Conduct – False Advertising

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~# 26 and #30~~ #27 and #31]

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Section 2570.28(a)(5): Unprofessional Conduct – Discipline by Other Government Agency

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1- ~~#13~~ 14]

Section 2570.28(b): Procuring a License by Fraud, Misrepresentation, Mistake

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional condition [~~#23, #26 #28~~ #24, #27, #29]

Section 2570.28(c): Violating Any Provision of the Occupational Therapy Practice Act or Regulations

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.28(d): False Statement on Application for License or Renewal

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#26 and #30~~ #27 and #31]

Section 2570.28(e): Conviction of Crime Substantially Related to License

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#26, #27, #28, #30~~ #27, #28, #29, #31 ]

Section 2570.28(f) or (g): Impersonating an Applicant or Acting as Proxy for Another in an Examination for Licensure, Impersonating a Licensee or Allowing Another Person to Use License

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:

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a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#26 and #30~~ #27 and #31]

Section 2570.28(h): Committing Fraud, Dishonest or Corrupt Act

Maximum: Revocation
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#26 and #30~~ #27 and #31]

Section 2570.28(i): Committing Any Act Punishable as a Sexually Related Crime

Maximum: Revocation
Minimum: Stayed revocation, ninety (90) days actual suspension and five (5) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional Conditions [~~#15, #16, #24, #26, #30~~ #16, #17, #25, #27, #31]

Section 2570.28(j): Using Excessive Force, Mistreating or Abusing Patient

Maximum: Revocation
Minimum: Stayed revocation, ninety (90) days actual suspension and five (5) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional Conditions [~~#15, #16, #25, #26, 30~~ #16, #17, #26, #27, #31]

Section 2570.28(k): Falsifying, Making Grossly Incorrect, Inconsistent, or Unintelligible Entries in Patient/Hospital Record or any other record

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.28(l): Changing the Prescription of Physician or Falsifying Verbal or Written Orders

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

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Section 2570.28(m): Failing to Maintain Patient Confidentiality

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.28(n): Delegating Services that Require License to Unlicensed Person

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.28(o): Committing Any Act that would be Grounds for Denial under Section 480

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.28(p): Failing to Follow Infection Control Guidelines

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 2570.29(a): Obtain, Possess, Administer to Self, Furnish or Administer to Others, Any Controlled Substance

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#14, #17, #18, #19a and/or 19b or 19c, #20, #21, #22, #24, #31~~ #15, #18, #19, #20a and/or 20b or 20c, #21, #22, #23, #25, #32]

Section 2570.29(b)(1), (2) or (3): Use Controlled Substance, Dangerous Drug, Alcohol in Manner Dangerous, Injurious to Self or Others

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#14, #17, #18, #19a and/or 19b or 19c, #20, #21, #22, #24, #31~~ #15, #18, #19,

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#20a and/or 20b or 20c, #21, #22, #23, #25, #32]

Section 2570.29(c): Conviction of Crime Involving Controlled Substance, Dangerous Drug, Alcohol or Falsifying a Record Involving Same

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#14, #17, #18, #19a and/or 19b or 19c, #20, #21, #22, #24, #28, #31~~ #15, #18, #19, #20a and/or 20b or 20c, #21, #22, #23, #25, #29, #32]

Section 2570.29(d): Committed or Confined by Court for Intemperate Use of Controlled Substance, Dangerous Drug, Alcohol

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#14, #17, #18, #19a and/or 19b or 19c, #20, #21, #22, #24, #28, #31~~ #15, #18, #19, #20a and/or 20b or 20c, #21, #22, #23, #25, #29, #32]

Section 2570.29(e): Falsify, Make Grossly Incorrect, Inconsistent, or Unintelligible Entries in Hospital/Patient Record involving Controlled Substance or Dangerous Drug

Maximum: Revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#14, #17, #18, #19a and/or 19b or 19c, #20, #21, #22, #24, #28, #31~~ #15, #18, #19, #20a and/or 20b or 20c, #21, #22, #23, #25, #29, #32]

2570.36. Required Reporting of Violations to the Board

Maximum: Revocation
Minimum: Stayed revocation and one year (1) year probation
a. Standard conditions [#1 - # 14]

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***GENERAL PROVISIONS OF BUSINESS AND PROFESSIONS CODE***

Section 119: Misdemeanor Pertaining to Use of a License

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 123. Conduct constituting subversion of licensing examination; penalties and damages

Maximum: Denial of application for licensure or revocation
Minimum: Stayed revocation and three (3) years probation on the following conditions:
a. Standard conditions [#1 - #14]

Section 125: Misdemeanor Pertaining to Conspiring with Unlicensed Person for Use of a License

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 125.6: Discrimination by Licensee

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 480(a): Denial of Licenses

Maximum/Minimum: Denial of license

Section 480(c): Denial of Licenses

Maximum/Minimum: Denial of license

Section 496: Subversion of Licensing Examinations or Administration of Examinations.

Maximum: Denial or revocation of license
Minimum: Stayed revocation, thirty (30) days actual suspension and three (3) years probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

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b. Optional conditions [~~#23, #26, #30~~ #24, #27, #31]

Section 498. Fraud, deceit or misrepresentation as grounds for action against license

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and three (3) years probation on the following conditions:<br>a. Standard conditions [#1 - #14] |

Section 499. Action against license based on licentiate's actions regarding application of another

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and two (2) years probation on the following conditions:<br>a. Standard conditions [#1 - #14] |

Section 581. Purchase or fraudulent alteration of diplomas or other writings

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and three (3) years probation on the following conditions:<br>a. Standard conditions [#1 - #14] |

Section 582. Use of illegally obtained, altered, or counterfeit diploma, certificate, or transcript

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and three (3) years probation on the following conditions:<br>a. Standard conditions [#1 - #14] |

Section 583. False statements in documents or writings

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and two (2) years probation on the following conditions:<br>a. Standard conditions [#1 - #14] |

Section 584. Violation of examination

| | |
|---|---|
| Maximum: | Revocation |
| Minimum: | Stayed revocation and three (3) years probation on the following conditions:<br>a. Standard conditions [#1 - #14]<br>b. Optional condition [#28] |

Section 726: Sexual Abuse, Misconduct, or Relations with a Patient or Client

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Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#25, #26, #30~~ #26, #27, #31]

Section 730: Performing Medical Evaluation Without Certification

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]

Section 810: ~~Fraudulent Claims~~ Grounds for disciplinary action against health care professional

Maximum: Revocation
Minimum: Stayed revocation and one (1) year probation on the following conditions:
a. Standard conditions [#1 - ~~#13~~ 14]
b. Optional conditions [~~#26, #27, #30~~ #27, #28, #31]

Section 17500. False or misleading statements

Maximum: Revocation
Minimum: Stayed revocation and two (2) years probation on the following conditions:
a. Standard conditions [#1 - #14]

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## *V. STANDARD CONDITIONS OF PROBATION*
**(To be included in ALL cases of probation)**

1. **Obey All Laws**
   Respondent shall obey all federal, state and local laws ~~and regulations governing the practice of occupational therapy in California~~. Respondent shall submit, in writing, a full detailed account of any and all ~~violations of the law~~ arrests and convictions to the Board within five (5) days of occurrence.

   CRIMINAL COURT ORDERS: If Respondent is under criminal court orders by any governmental agency, including probation or parole, and the orders are violated, this shall be deemed a violation of probation and may result in the filing of an accusation or petition to revoke probation or both.

   OTHER BOARD OR REGULATORY AGENCY ORDERS: If Respondent is subject to any other disciplinary order from any other health-care related board or any professional licensing or certification regulatory agency in California or elsewhere, and violates any of the orders or conditions imposed by other agencies, this shall be deemed a violation of probation and may result in the filing of an accusation or petition to revoke probation or both.

2. **Compliance with Probation and Quarterly Reporting**
   Respondent shall fully comply with the terms and conditions of probation established by the Board and all requirements necessary to implement the conditions of probation. Respondent shall cooperate with representatives of the Board in its monitoring and investigation of the respondent's compliance with probation. Respondent shall respond to all requests and inquiries from the Board within the time period specified by the Board. Failure by respondent to accept and/or pick up any correspondence sent via express mail, certified mail or registered mail shall constitute a violation of probation.

   Respondent, within ten (10) days of completion of the quarter, shall submit quarterly written reports to the Board on a Quarterly Report of Compliance form obtained from the Board (Quarterly Written Report, rev. 4/2011).

3. **Personal Appearances**
   Upon reasonable notice by the Board, respondent shall report to and make personal appearances at times and locations as the Board may direct.

4. **Notification of Address and Telephone Number Change(s)**
   Respondent shall notify the Board staff and his or her Probation Monitor, in writing, within five (5) days of a change of residence or mailing address, of his/her new address and any change in work and/or home telephone numbers.

   Post Office Boxes are accepted for mailing purposes; however, the Respondent must also provide his or her physical residence address as well.

5. **Tolling for Out-of-State Practice, Residence or Extension of Probation for In-State Non-Practice.**
   In the event respondent should leave California to reside or to practice outside the

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State for more than thirty (30) days, respondent shall notify the Board or its designee in writing within five (5) days of the dates of departure and return. All provisions of probation, other than the quarterly report requirements, examination requirements, ~~and~~ education requirements, address change and cost recovery requirements, shall be held in abeyance until respondent resumes practice and/or residence in California. All provisions of probation shall recommence on the effective date of resumption of practice in California, and the period of probation shall be extended for the period of time respondent was out of state.

Unless by Board order, in the event respondent is not engaging in the practice of occupational therapy while residing in California, respondent shall notify the Board or its designee in writing within five (5) days of the dates of cessation of practice and the expected return to practice. All provisions of probation shall remain in effect, and the period of probation shall be extended for the period of time respondent was not engaged in the practice of occupational therapy as required by other employment requirement of this order.

**6. Notification to Employer(s)**

Respondent shall request and obtain written approval from the Board:

- Within five days of the effective date of the Decision when currently employed,
- Prior to commencing employment, or
- Prior to entering into a contract to provide services,

When currently employed, applying for employment in any capacity, or contracted to provide occupational therapy services, Respondent shall provide a copy of the Board's Decision to each employer, supervisor, or contractor no later than the effective date of the Decision. Respondent shall notify any prospective employer, supervisor, or contractor of his/her probationary status with the Board prior to accepting such employment. This notification shall include a copy of the Board's Accusation, Statement of Issues, Stipulated Settlement, or Disciplinary Decision (whichever applies).

The respondent shall provide to the Board the names, physical addresses, mailing addresses, email addresses, fax numbers and telephone numbers of all employers, supervisors and contractors, and shall inform the Board in writing of the facility or facilities at which the person is providing occupational therapy services, the name(s) of the person(s) to whom the Board's decision was provided.

Respondent shall complete ~~the required~~ an authorization and consent form~~s~~ ~~and sign an agreement with the employer and supervisor, or contractor, and the Board,~~ to allow the Board to communicate with the employer and supervisor or contractor regarding issues including but not limited to the licensee's work status, attendance, performance, and on-going monitoring. (Authorization to Release Information. Dev. 11/2011).

Respondent shall cause each employer and supervisor or contractor to submit quarterly reports to the Board. The report shall be on a form provided by the Board, and shall include a performance evaluation and such other information as may be required by the Board (Work Performance Evaluation Form. Rev. 12/2010).

Reporting by the supervisor to the board shall be as follows:

Any suspected substance abuse must be orally reported to the Board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the Board's normal business hours the oral report must be within four (4) hours of the next business day. A written report shall be submitted to the Board within 48 hours of occurrence.

Respondent shall notify the Board, in writing, within five (5) days of any change in employment status. Respondent shall notify the Board, in writing, within five (5) days if he/she is terminated from any occupational therapy or health care related employment with a full explanation of the circumstances surrounding the termination.

**7. Employment Requirements and Limitations**

During probation, respondent shall work in his/her licensed capacity in the State of California. ~~This practice shall consist of no less than six (6) continuous months and of no less than twenty (20) hours per week.~~ This practice shall consist of no less than forty (40) hours per month.

While on probation, respondent shall not work for a registry, placement agency, third party employer, in home health settings, as a traveler, or in any private duty position, except as approved, in writing, by the Board. Respondent shall work only on a regularly assigned, identified, and pre-determined work site(s) and shall not work in a float capacity except as approved, in advance and in writing, by the Board.

~~During probation, Respondent shall work in his or her capacity in the State of California.~~ If respondent is unable to secure employment in his or her capacity, is issued a cease practice order, or his or her license is temporarily suspended, the period of probation shall be extended for that period of time.

**8. Supervision Requirements**

Respondent shall obtain approval from the Board when continuing or before commencing any employment, regarding the level of supervision provided to the respondent while employed as an occupational therapist or occupational therapy assistant.

Respondent shall not function as a supervisor during the period of probation except as approved, in advance and in writing, by the Board.

**9. Continuing Education Requirements**

Respondent shall complete continuing education directly relevant to the violation as specified by the Board. Continuing education shall be completed within ~~a period of time designated by the Board~~, ~~which timeframe~~ six months of the effective date of the decision and shall be incorporated as a condition of ~~this~~ the probation period.

Continuing education shall be in addition to the professional development activities required for license renewal. The Board shall notify respondent of the course content and number of contact hours required. Within thirty (30) days of the Board's written notification of the assigned coursework, respondent shall submit a written plan to comply with this requirement. The Board shall approve such plan prior to enrollment in

any course of study.

Failure to satisfactorily complete the required continuing education as designated or failure to complete same no later than one year from the date of the Board's written notification shall constitute a violation of probation. Respondent is responsible for all costs of such continuing education. Upon successful completion of the course(s), respondent shall cause the instructor to furnish proof to the Board within thirty (30) days of course completion.

**10. Maintenance of Valid License**

Respondent shall, at all times while on probation, maintain an active current license with the Board including any period during which license is suspended or probation is tolled.

**11. Cost Recovery Requirements**

Where an order for recovery of costs is made, respondent shall make timely payment as directed in the Board's Decision pursuant to Business and Professions Code section 125.3. Respondent shall be permitted to pay these costs in a payment plan approved by the Board. Respondent must submit a proposed payment plan within 30 days of the effective date of the decision and be approved by a Board representative. Payments shall be completed no later than six (6) months prior to the end of the probation term. Failure to make payments in accordance with any formal agreement entered into with the Board or pursuant to any Decision by the Board shall be considered a violation of probation.

~~The Board may conditionally renew or reinstate, for a maximum of one (1) year, the license of any respondent who demonstrates financial hardship. Respondent shall enter into a formal agreement with the Board to reimburse the unpaid costs within that one (1) year period.~~

~~Except as provided above, t~~ The Board shall not renew or reinstate the license of any respondent who has failed to pay all the costs as directed in a Decision.

**12. Instruction of Continuing Competency/Continuing Education Coursework**

While on probation Respondent shall not be an instructor of any coursework for continuing competency, continuing education, presentations, workshops, in-services, institutes, or any courses used to satisfy advanced practice requirements.

**~~12.~~ 13. Violation of Probation**

If respondent violates probation in any respect, the Board, after giving respondent notice and opportunity to be heard, may revoke probation and carry out the disciplinary order which was stayed. If an accusation or a petition to revoke probation is filed against respondent during probation, the Board shall have continuing jurisdiction until the matter is final, and the period of probation shall be extended and respondent shall comply with all probation conditions, until the matter is final.

~~13.~~ 14. **Completion of Probation**
Upon successful completion of probation, respondent's license will be fully restored.

## VI. *OPTIONAL CONDITIONS OF PROBATION*

~~14.~~ 15. **Examination by a Physician**
Within ~~sixty (60)~~ forty-five (45) days of the effective date of the Decision, respondent shall submit to a physical examination by a physician and surgeon of his/her choice who meets minimum criteria ~~established~~ approved by the Board. The physician and surgeon shall be licensed in California and Medical Board Certified in Family Practice, Internal Medicine or a related specialty. The purpose of the examination shall be to determine respondent's ability to safely perform all professional duties with safety to self and to the public. Respondent shall provide the examining physician and surgeon with a copy of the Board's Disciplinary Order prior to the examination. Cost of such examination shall be paid by respondent.

Respondent shall cause the physician and surgeon to complete a written medical report to be submitted directly to the Board within ~~ninety (90)~~ sixty (60) days of the effective date of the Decision. If the examining physician and surgeon finds that respondent is not physically fit to practice or can only practice with restrictions the physician shall notify the Board, in writing, within five (5) working days. The Board shall notify respondent in writing of the physician and surgeon's determination of unfitness to practice and shall order the respondent to cease practice or place restrictions on respondent's practice. Respondent shall comply with any order to cease practice or restriction of his or her practice until the Board is satisfied of respondent's fitness to practice safely and has so notified respondent in writing. Respondent

~~15.~~ 16. **Psychological Evaluation**
Within ~~sixty (60)~~ forty-five (45) of the effective date of the Decision, respondent shall submit to a psychiatric/psychological evaluation. Within twenty (20) days of the effective date of the Decision, Respondent shall submit to the Board the name of one or more proposed evaluators for prior approval by the Board. The evaluation shall be performed by a physician and surgeon licensed in California and Board Certified in Psychiatry, or by a clinical psychologist licensed in California and approved by the Board. This evaluation shall be for the purpose of determining respondent's current mental, psychological and emotional fitness to safely perform all professional duties with safety to self and the public. Respondent shall provide the evaluator with a copy of the Board's Disciplinary Order prior to the evaluation. Cost of such evaluation shall be paid by respondent.

Respondent shall cause the evaluator to submit to the Board a written psychological report concerning respondent's status and progress as well as such other information as may be requested by the Board. This report shall be submitted within ~~ninety (90)~~ sixty (60) days from the effective date of the Decision.

If the evaluator finds that respondent is not psychologically fit to practice safely or can only practice with restrictions, the evaluator shall orally notify the Board within one (1)

working day, and then notify the Board, in writing, within five (5) working days. The Board shall notify the respondent in writing of the evaluator's determination of unfitness to practice and shall order the respondent to cease or restrict licensed activities as a condition of probation. Respondent shall comply with this condition until the Board is satisfied of respondent's fitness to practice safely and has so notified respondent. Respondent shall document compliance in the manner required by the Board.

If the evaluator finds that psychotherapy is required, respondent shall participate in a therapeutic program at the Board's discretion. Cost of such therapy shall be paid by respondent.

**~~16.~~ 17. Psychotherapy**

Within ~~sixty (60)~~ forty-five (45) days of the effective date of the Decision, respondent shall submit to the Board the name of one (1) or more proposed therapists for prior approval. Respondent shall participate in ongoing psychotherapy with a California licensed or legally registered mental health professional approved by the Board. Within ten (10) days of receiving notification of approval by the Board, Respondent shall commence psychotherapy. Respondent shall provide the therapist with a copy of the Board's Disciplinary Order no later than the first counseling session. Counseling shall be at least once a week unless otherwise determined by the Board. Respondent shall continue in such therapy at the Board's discretion. Cost of such therapy shall be paid by respondent.

Respondent shall cause the therapist to submit to the Board a written report concerning respondent's psychotherapy status and progress as well as such other information as may be requested by the Board. The initial psychotherapy report shall be submitted within ~~ninety (90)~~ sixty (60) days from the effective date of the Decision. Respondent shall cause the therapist to submit quarterly written reports to the Board concerning respondent's fitness to practice, progress in treatment and to provide such other information as may be required by the Board.

If the therapist finds that respondent is not fit to practice safely, or can only practice safely with restrictions, the therapist shall notify the Board, in writing, within five (5) working days. The Board shall notify respondent in writing of the therapist's determination of unfitness to practice and shall order the respondent to cease or restrict licensed activities as a condition of probation. Respondent shall comply with this condition until the Board is satisfied of respondent's fitness to practice safely and has so notified respondent. Respondent shall document compliance with this condition in the manner required by the Board.

**~~17.~~ 18. Clinical Diagnostic Evaluation**

Within twenty (20) days of the effective date of the Decision and at any time upon order of the Board, Respondent shall undergo a clinical diagnostic evaluation. Respondent shall provide the evaluator with a copy of the Board's Decision prior to the clinical diagnostic evaluation being performed.

Respondent shall cause the evaluator to submit to the Board a written clinical diagnostic evaluation report within ten (10) days from the date the evaluation was

completed, unless an extension, not to exceed thirty (30) days, is granted to the evaluator by the Board. Cost of such evaluation shall be paid by the Respondent.

Respondent is ordered to cease any practice of occupational therapy, beginning on the effective date of the Decision, pending the results of the clinical diagnostic evaluation. During this time, Respondent shall submit to random drug testing at least two (2) times per week. At any other time that Respondent is ordered to undergo a clinical diagnostic evaluation, he or she shall be ordered to cease any practice of occupational therapy for minimum of one month pending the results of a clinical diagnostic evaluation and shall, during such time, submit to drug testing at least two (2) times per week.

Upon any order to cease practice, Respondent shall not practice occupational therapy until the Board determines that he or she is able to safely practice either full-time or part-time and has had at least one-month of negative drug test results. Respondent shall comply with any terms or conditions made by the Board as a result of the clinical diagnostic evaluation.

**~~18.~~ 19. Rehabilitation Program**

Within thirty (30) days of the effective date of the Decision, respondent shall enter a rehabilitation and monitoring program specified by the Board. Respondent shall successfully complete such treatment contract as may be recommended by the program and approved by the Board.

Components of the treatment contract shall be relevant to the violation and to the respondent's current status in recovery or rehabilitation. The components may include, but are not limited to: restrictions on practice and work settings, random bodily fluid or other matter testing, abstention from drugs and alcohol, use of work site monitors, participation in chemical dependency rehabilitation programs or groups, psychotherapy, counseling, psychiatric evaluations and other appropriate rehabilitation or monitoring programs. Cost for participation in this program shall be paid by respondent.

**~~19.~~ 20. Support Groups**

**~~19a.~~ 20a. Chemical Dependency Support/Recovery Groups**

Within five (5) days of the effective date of the Decision, respondent shall begin attendance at a chemical dependency support group (e.g., Alcoholics Anonymous, Narcotics Anonymous), and continue as ordered by the Board or its designee. Verified documentation of attendance shall be submitted by respondent with each quarterly report. Respondent shall continue attendance in such a group for the duration of probation unless notified by the Board that attendance is no longer required.

When determining the frequency of required support group meeting attendance, the board shall give consideration to the following:

- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use;
- the recommendation of the clinical evaluator;
- the scope and pattern of use;

- the licensee's treatment history; and,
- the nature, duration, and severity of substance abuse.

**~~19b.~~ 20b. Facilitated Support Group Meetings**
Within thirty (30) days of the effective date of the Decision, respondent shall begin attendance at a facilitated support group, and continue as ordered by the Board or its designee. Verified documentation of attendance shall be submitted by respondent with each quarterly report. Respondent shall continue attendance in such a group for the duration of probation unless notified by the Board that attendance is no longer required.

When determining the frequency of required support group meeting attendance, the board shall give consideration to the following:

- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use;
- the recommendation of the clinical evaluator;
- the scope and pattern of use;
- the licensee's treatment history; and,
- the nature, duration, and severity of substance abuse.

Group Meeting Facilitator Qualifications and Requirements:

1. The meeting facilitator must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse, and shall be licensed or certified by the state or other nationally certified organizations.
2. The meeting facilitator must not have a financial relationship, personal relationship, or business relationship with the licensee in the last five (5) years.
3. The group meeting facilitator shall provide to the board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.
4. The facilitator shall report any unexcused absence within 24 hours.

**~~19c.~~ 20c. Group Support/Recovery Meetings**
Respondent shall begin and continue attendance at a support/recovery group (e.g., Alcoholics Anonymous, Narcotics Anonymous, or a facilitated group) as ordered by the Board or its designee. When determining the type and frequency of required support group

meeting attendance, the board shall give consideration to the following:

- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use;
- the recommendation of the clinical evaluator;
- the scope and pattern of use;
- the licensee's treatment history; and,
- the nature, duration, and severity of substance abuse.

Verified documentation of attendance shall be submitted by respondent with each quarterly report <u>or as requested by the board staff</u>. Respondent shall continue attendance in such a group for the duration of probation unless notified by the Board that attendance is no longer required.

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If a facilitated group meeting is ordered, the group facilitator shall meet the following qualifications and requirements:

a. The meeting facilitator must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse, and shall be licensed or certified by the state or other nationally certified organizations.
b. The meeting facilitator must not have a financial relationship, personal relationship, or business relationship with the licensee in the last five (5) years.
c. The group meeting facilitator shall provide to the board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.
d. The facilitator shall report any unexcused absence within 24 hours.

***NOTE TO ALJ**: Condition ~~19c~~ 20c is not necessary if ~~19a~~ 20a or ~~19b~~ 20b is ordered.*

**~~20.~~ 21. Abstain from Controlled Substances**

Respondent shall completely abstain from the personal use or possession of controlled substances, as defined in the California Uniform Controlled Substances Act, and dangerous drugs as defined in sections 4021 and 4022 of the Business and Professions Code, except when lawfully prescribed by a licensed practitioner for a bona fide illness or condition.

If under such prescription, or when obtaining refills, Respondent shall cause to have sent to the Board, in writing and within fourteen (14) days, by the prescribing health professional, a report identifying the medication, dosage, the date the medication was prescribed, the Respondent's prognosis, the date the medication will no longer be required, and the effect on the recovery plan, if appropriate.

**~~21.~~ 22. Abstain from use of Alcohol**

Respondent shall completely abstain from the intake of alcohol during the period of probation.

**~~22.~~ 23. Submit Biological Fluid or Specimen Samples**

23a [This term shall be applied to a Respondent meeting the definition of a substance abusing licensee pursuant to CCR 4148(b)]

Respondent shall enroll in the Board's drug-testing program within two (2) business days of the effective date of Probation and shall comply with all contract requirements.

Respondent shall immediately submit to random and directed alcohol and/or drug testing at respondent's cost, upon request by the Board or its designee. The Respondent shall be subject to a minimum of fifty-two (52) to one-hundred and four (104) random tests per year within the first year of probation, and a minimum of ~~fifty (50)~~ thirty-six (36) to one-hundred and four (104) random tests per year thereafter, for the duration of the probationary term. A respondent shall request in writing any modifications to testing frequency after the first year of probation. If Respondent tests positive ~~for a banned substance~~ in violation of term 21 or term 22, Respondent shall be ordered by the Board to immediately cease any practice of occupational therapy, and

may not practice unless and until notified by the Board. Any further analysis or review of a test that is positive for a banned substance shall be at respondent's costs. Respondent shall make daily contact as directed by the Board to determine if he or she must submit to drug testing. Respondent shall submit to his or her drug test on the same day that he or she is notified that a test is required. All alternative testing sites due to vacation or travel outside of California must be approved by the Board prior to the vacation or travel.

23b [This term shall be applied to a Respondent that committed a violation involving drugs and/or alcohol, but who is not considered to be a "substance abusing licensee" as referenced in CCR 4148(b)]

Respondent shall enroll in the Board's drug-testing program within two (2) business days of the effective date of Probation and shall comply with all contract requirements.

Respondent shall immediately submit to random and directed alcohol and/or drug testing at respondent's cost, upon request by the Board or its designee. The frequency of testing shall be no less than thirty-six (36) random tests per year for the duration of the probationary term. If Respondent tests positive in violation of term 21 or term 22, Respondent shall be ordered by the Board to immediately cease any practice of occupational therapy, and may not practice unless and until notified by the Board. Any further analysis or review of a test that is positive for a banned substance shall be at respondent's costs. Respondent shall make daily contact as directed by the Board to determine if he or she must submit to drug testing. Respondent shall submit to his or her drug test on the same day that he or she is notified that a test is required. All alternative testing sites due to vacation or travel outside of California must be approved by the Board prior to the vacation or travel.

Note to Administrative Law Judge (ALJ): In the event a Respondent successfully rebuts the presumption that they are a substance abusing licensee through testimony and/or evidence provided at hearing, and who is found to have committed a violation involving drugs and/or alcohol, the Board wishes to clarify and establish that it might be in the best interest of public protection to order drug/alcohol testing, but at a less intensive level specified in term 23a. The Board requests that the ALJ explain his or her reasoning for imposing this lesser standard so the Board can better understand and evaluate the Proposed Decision.

**~~23.~~ 24. Take and Pass the Licensure Examination**

Respondent shall take and pass the licensure examination currently required of new applicants for the license possessed by respondent. Respondent shall pay the established examination fees.

As a condition precedent to reinstatement of a license, respondent shall take and pass the licensure examination currently required of new applicants prior to resuming practice. Respondent shall pay the established examination and licensing fees.

All standard terms or other terms of probation shall be tolled until the respondent has successfully passed the licensure examination and notice of licensure has been mailed

to respondent by the Board.

**~~24.~~ 25. Worksite Monitor**

Respondent shall submit the name of the proposed worksite monitor within 20 days of the effective date of the Decision. Respondent shall complete any required consent forms and sign an agreement with the worksite monitor and the Board regarding the Respondent and the worksite monitor's requirements and reporting responsibilities. Once a worksite monitor is approved, Respondent may not practice unless the monitor is present at the worksite. If the worksite monitor terminates the agreement with the Board and the Respondent, the Respondent shall not resume practice until another worksite monitor is approved by the Board.

Reporting by the worksite monitor to the board shall be as follows:
Any suspected substance abuse must be orally reported to the Board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the Board's normal business hours the oral report must be within one (1) hour of the next business day. A written report shall be submitted to the Board within 48 hours of occurrence.

The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include: the licensee's name; license number; worksite monitor's name and signature; worksite monitor's license number; worksite location(s); dates licensee had face-to-face contact with monitor; worksite staff interviewed, if applicable; attendance report; any change in behavior and/or personal habits; any indicators that can lead to suspected substance abuse.

The ~~licensee~~ consent form shall ~~complete the required consent forms and sign an agreement with the worksite monitor and the Board to~~ allow the Board to communicate with the worksite monitor. (Authorization and Consent Form. Dev. 10/2011).

**~~25.~~ 26. Restriction on Licensed Practice**

Respondent shall practice only with a specified client population, in a specified practice setting, or engage in limited occupational therapy services. These restrictions shall be specifically defined in the Decision and be appropriate to the violation. Respondent shall be required to document compliance in a manner required by the Board.

**~~26.~~ 27. Suspension**

Respondent is suspended from the practice of occupational therapy for _____ days beginning on the effective date of the Decision. Respondent shall be responsible for informing his or her employer of the Board's decision, the reasons for the length of suspension

**~~27.~~ 28. Restitution**

Within _____ days of the effective date of this Decision, respondent shall make restitution to _____ in the amount of $_____ and shall provide the Board with proof from _____ attesting that the full restitution has been paid. In all cases, restitution shall be made before the termination of probation.

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**~~28.~~ 29. Criminal Probation Reports**

Respondent shall provide the Board with a copy of the standard conditions of the criminal probation, copies of all criminal probation reports and the name of his/her probation officer.

**~~29.~~ 30. Relinquish License and Wall Certificate**

Respondent shall relinquish and shall forward or deliver the license to practice and the wall certificate to the Board within ten (10) days of the effective date of the Decision and order.

**~~30.~~ 31. Notification to Clients/Cessation of Practice**

In orders that provide for a cessation or suspension of practice, respondent shall comply with procedures provided by the Board regarding notification to, and management of, clients.

**~~31.~~ 32. Request for Modification**

"Request" as used in this standard is a request made to the Board's designee, and is not under the Administrative Procedure Act.

The licensee shall demonstrate that he or she has met the following criteria before being granted a request to modify a practice restriction ordered by the Board:
a. Demonstrated sustained compliance with current recovery program.
b. Demonstrated the ability to practice safely as evidenced by current work site reports, evaluations, and any other information relating to the licensee's substance abuse.
c. Negative alcohol and drug screening reports for at least six (6) months, two (2) positive worksite monitor reports, and complete compliance with other terms and conditions of the program.

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## *VII. REHABILITATION CRITERIA*

When considering the denial of an occupational therapy practitioner license under section 480 of the Business and Professions Code, the Board, in evaluating the rehabilitation of the applicant and his/her present eligibility for a license will consider the following criteria:

(1) The nature and severity of the act(s) or crime(s) under consideration as grounds for denial.
(2) Evidence of any act(s) committed subsequent to the act(s) or crime(s) under consideration as grounds for denial, which also could be considered as grounds for denial under section 480 of the Business and Professions Code.
The time that has elapsed since commission of the act(s) or crime(s) referred to in subdivision (1) or (2).
(4) The extent to which the applicant has complied with any terms of parole, probation, restitution, or any other sanctions lawfully imposed against the applicant.
(5) Evidence, if any, of rehabilitation submitted by the applicant.

When considering the suspension or revocation of the license of an occupational therapy practitioner on the grounds that the person licensed has been convicted of a crime, the Board, in evaluating the rehabilitation of such person and his/her present eligibility for a license, shall consider the following criteria:

(1) The nature and severity of the act(s) or offense(s).
(2) Total criminal record.
(3) The time that has elapsed since commission of the act(s) or offense(s).
(4) The extent to which the licensee has complied with any terms of parole, probation, restitution or any other sanctions lawfully imposed against the licensee.
(5) If applicable, evidence of expungement proceedings pursuant to section 1203.4 of the Penal Code.
(6) Evidence, if any, of rehabilitation submitted by the licensee.

## *PETITION FOR REINSTATEMENT/REDUCTION IN PENALTY*

When considering a petition for reinstatement of the license or a petition for reduction in penalty, the Board shall evaluate evidence of rehabilitation submitted by the petitioner, considering those criteria specified in section ***VII.*** above.

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**RECOMMENDED LANGUAGE FOR ISSUANCE AND PLACEMENT OF A LICENSE ON PROBATION AND REINSTATEMENT OF LICENSE**

Disciplining of a License:

"IT IS HEREBY ORDERED that [occupational therapist or occupational therapy assistant] license No. [#] issued to respondent [name], is REVOKED. However, the order of revocation is STAYED and the license is placed on probation for [#] years subject to the following terms and conditions:"

Applicant Placed on Probation:

"IT IS HEREBY ORDERED that the application for licensure as an [occupational therapist or occupational therapy assistant] of respondent [name], is GRANTED, and upon successful completion of all licensing requirements a license shall be issued, provided that all licensing requirements are completed within two years of the effective date of this decision. If a license is not issued within two years of the effective date of this decision, the application is ordered denied, and a new application for licensure will be required. Upon issuance, however, said license shall immediately be REVOKED. However, the order of revocation shall be STAYED, and the license is placed on probation for [#] years subject to the following terms and conditions:"

Reinstatement of a License:

"The petition of [name], for reinstatement of licensure is hereby GRANTED. [Occupational Therapist or Occupational Therapy Assistant ] license number [#] shall be reinstated provided that all licensing requirements are completed within two years of the effective date of this decision. If a license is not issued within two years of the effective date of this decision, the petition is ordered denied, and a new petition for reinstatement will be required. Upon issuance, however, the license shall be immediately revoked. However, the order of revocation shall be STAYED, and petitioner's license shall be placed on probation for a period of [#] years subject to the terms and following conditions:"

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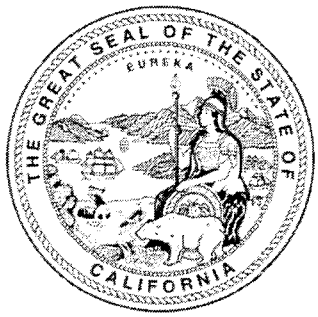
# Uniform Standards Regarding Substance-Abusing Healing Arts Licensees

Senate Bill 1441 (Ridley-Thomas)

Implementation by
Department of Consumer Affairs,
Substance Abuse Coordination Committee




Brian J. Stiger, Director
April 2011

STATE OF CALIFORNIA
dca
DEPARTMENT OF CONSUMER AFFAIRS

## Substance Abuse Coordination Committee

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**Director, Department of Consumer Affairs**

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**CA Department of Alcohol & Drug Programs**

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**California Board of Behavioral Sciences**

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**Veterinary Medical Board**

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## #1 SENATE BILL 1441 REQUIREMENT

Specific requirements for a clinical diagnostic evaluation of the licensee, including, but not limited to, required qualifications for the providers evaluating the licensee.

## #1 Uniform Standard

If a healing arts board orders a licensee who is either in a diversion program or whose license is on probation due to a substance abuse problem to undergo a clinical diagnosis evaluation, the following applies:

1. The clinical diagnostic evaluation shall be conducted by a licensed practitioner who:
    - holds a valid, unrestricted license, which includes scope of practice to conduct a clinical diagnostic evaluation;
    - has three (3) years experience in providing evaluations of health professionals with substance abuse disorders; and,
    - is approved by the board.
2. The clinical diagnostic evaluation shall be conducted in accordance with acceptable professional standards for conducting substance abuse clinical diagnostic evaluations.
3. The clinical diagnostic evaluation report shall:
    - set forth, in the evaluator's opinion, whether the licensee has a substance abuse problem;
    - set forth, in the evaluator's opinion, whether the licensee is a threat to himself/herself or others; and,
    - set forth, in the evaluator's opinion, recommendations for substance abuse treatment, practice restrictions, or other recommendations related to the licensee's rehabilitation and safe practice.

The evaluator shall not have a financial relationship, personal relationship, or business relationship with the licensee within the last five years. The evaluator shall provide an objective, unbiased, and independent evaluation.

If the evaluator determines during the evaluation process that a licensee is a threat to himself/herself or others, the evaluator shall notify the board within 24 hours of such a determination.

For all evaluations, a final written report shall be provided to the board no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed 30 days.

## #2 SENATE BILL 1441 REQUIREMENT

Specific requirements for the temporary removal of the licensee from practice, in order to enable the licensee to undergo the clinical diagnostic evaluation described in subdivision (a) and any treatment recommended by the evaluator described in subdivision (a) and approved by the board, and specific criteria that the licensee must meet before being permitted to return to practice on a full-time or part-time basis.

## #2 Uniform Standard

The following practice restrictions apply to each licensee who undergoes a clinical diagnostic evaluation:

1. The Board shall order the licensee to cease practice during the clinical diagnostic evaluation pending the results of the clinical diagnostic evaluation and review by the diversion program/board staff.

2. While awaiting the results of the clinical diagnostic evaluation required in Uniform Standard #1, the licensee shall be randomly drug tested at least two (2) times per week.

After reviewing the results of the clinical diagnostic evaluation, and the criteria below, a diversion or probation manager shall determine, whether or not the licensee is safe to return to either part-time or fulltime practice. However, no licensee shall be returned to practice until he or she has at least 30 days of negative drug tests.

- the license type;
- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use
- the scope and pattern of use;
- the treatment history;
- the licensee's medical history and current medical condition;
- the nature, duration and severity of substance abuse, and
- whether the licensee is a threat to himself/herself or the public.

## #3 SENATE BILL 1441 REQUIREMENT

Specific requirements that govern the ability of the licensing board to communicate with the licensee's employer about the licensee's status or condition.

## #3 Uniform Standard

If the licensee who is either in a board diversion program or whose license is on probation has an employer, the licensee shall provide to the board the names, physical addresses, mailing addresses, and telephone numbers of all employers and supervisors and shall give specific, written consent that the licensee authorizes the board and the employers and supervisors to communicate regarding the licensee's work status, performance, and monitoring.

## #4 SENATE BILL 1441 REQUIREMENT

Standards governing all aspects of required testing, including, but not limited to, frequency of testing, randomnicity, method of notice to the licensee, number of hours between the provision of notice and the test, standards for specimen collectors, procedures used by specimen collectors, the permissible locations of testing, whether the collection process must be observed by the collector, backup testing requirements when the licensee is on vacation or otherwise unavailable for local testing, requirements for the laboratory that analyzes the specimens, and the required maximum timeframe from the test to the receipt of the result of the test.

## #4 Uniform Standard

The following standards shall govern all aspects of testing required to determine abstention from alcohol and drugs for any person whose license is placed on probation or in a diversion program due to substance use:

## TESTING FREQUENCY SCHEDULE

A board may order a licensee to drug test at any time. Additionally, each licensee shall be tested RANDOMLY in accordance with the schedule below:

| Level | Segments of Probation/Diversion | Minimum Range of Number of Random Tests |
|---|---|---|
| I | Year 1 | 52-104 per year |
| II* | Year 2+ | 36-104 per year |

*The minimum range of 36-104 tests identified in level II, is for the second year of probation or diversion, and each year thereafter, up to five (5) years. Thereafter, administration of one (1) time per month if there have been no positive drug tests in the previous five (5) consecutive years of probation or diversion.

Nothing precludes a board from increasing the number of random tests for any reason. Any board who finds or has suspicion that a licensee has committed a violation of a board's testing program or who has committed a Major Violation, as identified in Uniform Standard 10, may reestablish the testing cycle by placing that licensee at the beginning of level I, in addition to any other disciplinary action that may be pursued.

## EXCEPTIONS TO TESTING FREQUENCY SCHEDULE

I. PREVIOUS TESTING/SOBRIETY
In cases where a board has evidence that a licensee has participated in a treatment or monitoring program requiring random testing, prior to being subject to testing by the board, the board may give consideration to that testing in altering the testing

frequency schedule so that it is equivalent to this standard.

II. VIOLATION(S) OUTSIDE OF EMPLOYMENT
An individual whose license is placed on probation for a single conviction or incident or two convictions or incidents, spanning greater than seven years from each other, where those violations did not occur at work or while on the licensee's way to work, where alcohol or drugs were a contributing factor, may bypass level I and participate in level II of the testing frequency schedule.

III. NOT EMPLOYED IN HEALTH CARE FIELD
A board may reduce testing frequency to a minimum of 12 times per year for any person who is not practicing OR working in any health care field. If a reduced testing frequency schedule is established for this reason, and if a licensee wants to return to practice or work in a health care field, the licensee shall notify and secure the approval of the licensee's board. Prior to returning to any health care employment, the licensee shall be subject to level I testing frequency for at least 60 days. At such time the person returns to employment (in a health care field), if the licensee has not previously met the level I frequency standard, the licensee shall be subject to completing a full year at level I of the testing frequency schedule, otherwise level II testing shall be in effect.

IV. TOLLING
A board may postpone all testing for any person whose probation or diversion is placed in a tolling status if the overall length of the probationary or diversion period is also tolled. A licensee shall notify the board upon the licensee's return to California and shall be subject to testing as provided in this standard. If the licensee returns to employment in a health care field, and has not previously met the level I frequency standard, the licensee shall be subject to completing a full year at level I of the testing frequency schedule, otherwise level II testing shall be in effect.

V. SUBSTANCE USE DISORDER NOT DIAGNOSED
In cases where no current substance use disorder diagnosis is made, a lesser period of monitoring and toxicology screening may be adopted by the board, but not to be less than 24 times per year.

## OTHER DRUG STANDARDS

Drug testing may be required on any day, including weekends and holidays.

The scheduling of drug tests shall be done on a random basis, preferably by a computer program, so that a licensee can make no reasonable assumption of when he/she will be tested again. Boards should be prepared to report data to support back-to-back testing as well as, numerous different intervals of testing.

Licensees shall be required to make daily contact to determine if drug testing is required.

Licensees shall be drug tested on the date of notification as directed by the board.

Specimen collectors must either be certified by the Drug and Alcohol Testing Industry Association or have completed the training required to serve as a collector for the U.S. Department of Transportation.

Specimen collectors shall adhere to the current U.S. Department of Transportation Specimen Collection Guidelines.

Testing locations shall comply with the Urine Specimen Collection Guidelines published by the U.S. Department of Transportation, regardless of the type of test administered.

Collection of specimens shall be observed.

Prior to vacation or absence, alternative drug testing location(s) must be approved by the board.

Laboratories shall be certified and accredited by the U.S. Department of Health and Human Services.

A collection site must submit a specimen to the laboratory within one (1) business day of receipt. A chain of custody shall be used on all specimens. The laboratory shall process results and provide legally defensible test results within seven (7) days of receipt of the specimen. The appropriate board will be notified of non-negative test results within one (1) business day and will be notified of negative test results within seven (7) business days.

A board may use other testing methods in place of, or to supplement biological fluid testing, if the alternate testing method is appropriate.

## PETITIONS FOR REINSTATEMENT

Nothing herein shall limit a board's authority to reduce or eliminate the standards specified herein pursuant to a petition for reinstatement or reduction of penalty filed pursuant to Government Code section 11522 or statutes applicable to the board that contains different provisions for reinstatement or reduction of penalty.

## OUTCOMES AND AMENDMENTS

For purposes of measuring outcomes and effectiveness, each board shall collect and report historical and post implementation data as follows:

### Historical Data - Two Years Prior to Implementation of Standard

Each board should collect the following historical data (as available), for a period of two years, prior to implementation of this standard, for each person subject to testing for banned substances, who has 1) tested positive for a banned substance, 2) failed to

appear or call in, for testing on more than three occasions, 3) failed to pay testing costs, or 4) a person who has given a dilute or invalid specimen.

**Post Implementation Data- Three Years**

Each board should collect the following data annually, for a period of three years, for every probationer and diversion participant subject to testing for banned substances, following the implementation of this standard.

**Data Collection**

The data to be collected shall be reported to the Department of Consumer Affairs and the Legislature, upon request, and shall include, but may not be limited to:

Probationer/Diversion Participant Unique Identifier
License Type
Probation/Diversion Effective Date
General Range of Testing Frequency by/for Each Probationer/Diversion Participant
Dates Testing Requested
Dates Tested
Identify the Entity that Performed Each Test
Dates Tested Positive
Dates Contractor (if applicable) was informed of Positive Test
Dates Board was informed of Positive Test
Dates of Questionable Tests (e.g. dilute, high levels)
Date Contractor Notified Board of Questionable Test
Identify Substances Detected or Questionably Detected
Dates Failed to Appear
Date Contractor Notified Board of Failed to Appear
Dates Failed to Call In for Testing
Date Contractor Notified Board of Failed to Call In for Testing
Dates Failed to Pay for Testing
Date(s) Removed/Suspended from Practice (identify which)
Final Outcome and Effective Date (if applicable)

## #5 SENATE BILL 1441 REQUIREMENT

Standards governing all aspects of group meeting attendance requirements, including, but not limited to, required qualifications for group meeting facilitators, frequency of required meeting attendance, and methods of documenting and reporting attendance or nonattendance by licensees.

## #5 Uniform Standard

If a board requires a licensee to participate in group support meetings, the following shall apply:

When determining the frequency of required group meeting attendance, the board shall give consideration to the following:

- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use;
- the recommendation of the clinical evaluator;
- the scope and pattern of use;
- the licensee's treatment history; and,
- the nature, duration, and severity of substance abuse.

Group Meeting Facilitator Qualifications and Requirements:

1. The meeting facilitator must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse, and shall be licensed or certified by the state or other nationally certified organizations.
2. The meeting facilitator must not have a financial relationship, personal relationship, or business relationship with the licensee within the last year.
3. The group meeting facilitator shall provide to the board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.
4. The facilitator shall report any unexcused absence within 24 hours.

## #6 SENATE BILL 1441 REQUIREMENT

Standards used in determining whether inpatient, outpatient, or other type of treatment is necessary.

## #6 Uniform Standard

In determining whether inpatient, outpatient, or other type of treatment is necessary, the board shall consider the following criteria:

- recommendation of the clinical diagnostic evaluation pursuant to Uniform Standard #1;
- license type;
- licensee's history;
- documented length of sobriety/time that has elapsed since substance abuse;
- scope and pattern of substance use;
- licensee's treatment history;
- licensee's medical history and current medical condition;
- nature, duration, and severity of substance abuse, and
- threat to himself/herself or the public.

## #7 SENATE BILL 1441 REQUIREMENT

Worksite monitoring requirements and standards, including, but not limited to, required qualifications of worksite monitors, required methods of monitoring by worksite monitors, and required reporting by worksite monitors.

## #7 Uniform Standard

A board may require the use of worksite monitors. If a board determines that a worksite monitor is necessary for a particular licensee, the worksite monitor shall meet the following requirements to be considered for approval by the board.

1. The worksite monitor shall not have financial, personal, or familial relationship with the licensee, or other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the board; however, under no circumstances shall a licensee's worksite monitor be an employee of the licensee.

2. The worksite monitor's license scope of practice shall include the scope of practice of the licensee that is being monitored, be another health care professional if no monitor with like practice is available, or, as approved by the board, be a person in a position of authority who is capable of monitoring the licensee at work.

3. If the worksite monitor is a licensed healthcare professional he or she shall have an active unrestricted license, with no disciplinary action within the last five (5) years.

4. The worksite monitor shall sign an affirmation that he or she has reviewed the terms and conditions of the licensee's disciplinary order and/or contract and agrees to monitor the licensee as set forth by the board.

5. The worksite monitor must adhere to the following required methods of monitoring the licensee:

    a) Have face-to-face contact with the licensee in the work environment on a frequent basis as determined by the board, at least once per week.

    b) Interview other staff in the office regarding the licensee's behavior, if applicable.

    c) Review the licensee's work attendance.

Reporting by the worksite monitor to the board shall be as follows:

1. Any suspected substance abuse must be verbally reported to the board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the board's normal business hours the verbal report must be within one (1) hour of the next business day. A written report shall be submitted to the board within 48 hours of occurrence.

2. The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include:

   - the licensee's name;
   - license number;
   - worksite monitor's name and signature;
   - worksite monitor's license number;
   - worksite location(s);
   - dates licensee had face-to-face contact with monitor;
   - staff interviewed, if applicable;
   - attendance report;
   - any change in behavior and/or personal habits;
   - any indicators that can lead to suspected substance abuse.

The licensee shall complete the required consent forms and sign an agreement with the worksite monitor and the board to allow the board to communicate with the worksite monitor.

## #8 SENATE BILL 1441 REQUIREMENT

Procedures to be followed when a licensee tests positive for a banned substance.

## #8 Uniform Standard

When a licensee tests positive for a banned substance:

1. The board shall order the licensee to cease practice;
2. The board shall contact the licensee and instruct the licensee to leave work; and
3. The board shall notify the licensee's employer, if any, and worksite monitor, if any, that the licensee may not work.

Thereafter, the board should determine whether the positive drug test is in fact evidence of prohibited use. If so, proceed to Standard #9. If not, the board shall immediately lift the cease practice order.

In determining whether the positive test is evidence of prohibited use, the board should, as applicable:

1. Consult the specimen collector and the laboratory;
2. Communicate with the licensee and/or any physician who is treating the licensee; and
3. Communicate with any treatment provider, including group facilitator/s.

## #9 SENATE BILL 1441 REQUIREMENT

Procedures to be followed when a licensee is confirmed to have ingested a banned substance.

## #9 Uniform Standard

When a board confirms that a positive drug test is evidence of use of a prohibited substance, the licensee has committed a major violation, as defined in Uniform Standard #10 and the board shall impose the consequences set forth in Uniform Standard #10.

## #10 SENATE BILL 1441 REQUIREMENT

Specific consequences for major and minor violations. In particular, the committee shall consider the use of a "deferred prosecution" stipulation described in Section 1000 of the Penal Code, in which the licensee admits to self-abuse of drugs or alcohol and surrenders his or her license. That agreement is deferred by the agency until or unless licensee commits a major violation, in which case it is revived and license is surrendered.

## #10 Uniform Standard

**Major Violations** include, but are not limited to:

1. Failure to complete a board-ordered program;
2. Failure to undergo a required clinical diagnostic evaluation;
3. Multiple minor violations;
4. Treating patients while under the influence of drugs/alcohol;
5. Any drug/alcohol related act which would constitute a violation of the practice act or state/federal laws;
6. Failure to obtain biological testing for substance abuse;
7. Testing positive and confirmation for substance abuse pursuant to Uniform Standard #9;
8. Knowingly using, making, altering or possessing any object or product in such a way as to defraud a drug test designed to detect the presence of alcohol or a controlled substance.

**Consequences** for a major violation include, but are not limited to:

1. Licensee will be ordered to cease practice.
   a) the licensee must undergo a new clinical diagnostic evaluation, and
   b) the licensee must test negative for at least a month of continuous drug testing before being allowed to go back to work.
2. Termination of a contract/agreement.
3. Referral for disciplinary action, such as suspension, revocation, or other action as determined by the board.

**Minor Violations** include, but are not limited to:

1. Untimely receipt of required documentation;
2. Unexcused non-attendance at group meetings;
3. Failure to contact a monitor when required;
4. Any other violations that do not present an immediate threat to the violator or to the public.

**Consequences** for minor violations include, but are not limited to:

1. Removal from practice;
2. Practice limitations;
3. Required supervision;
4. Increased documentation;
5. Issuance of citation and fine or a warning notice;
6. Required re-evaluation/testing;
7. Other action as determined by the board.

## #11 SENATE BILL 1441 REQUIREMENT

Criteria that a licensee must meet in order to petition for return to practice on a full time basis.

## #11 Uniform Standard

**"Petition" as used in this standard is an informal request as opposed to a "Petition for Modification" under the Administrative Procedure Act.**

The licensee shall meet the following criteria before submitting a request (petition) to return to full time practice:

1. Demonstrated sustained compliance with current recovery program.

2. Demonstrated the ability to practice safely as evidenced by current work site reports, evaluations, and any other information relating to the licensee's substance abuse.

3. Negative drug screening reports for at least six (6) months, two (2) positive worksite monitor reports, and complete compliance with other terms and conditions of the program.

## #12 SENATE BILL 1441 REQUIREMENT

Criteria that a licensee must meet in order to petition for reinstatement of a full and unrestricted license.

## #12 Uniform Standard

**"Petition for Reinstatement" as used in this standard is an informal request (petition) as opposed to a "Petition for Reinstatement" under the Administrative Procedure Act.**

The licensee must meet the following criteria to request (petition) for a full and unrestricted license.

1. Demonstrated sustained compliance with the terms of the disciplinary order, if applicable.

2. Demonstrated successful completion of recovery program, if required.

3. Demonstrated a consistent and sustained participation in activities that promote and support their recovery including, but not limited to, ongoing support meetings, therapy, counseling, relapse prevention plan, and community activities.

4. Demonstrated that he or she is able to practice safely.

5. Continuous sobriety for three (3) to five (5) years.

## #13 SENATE BILL 1441 REQUIREMENT

If a board uses a private-sector vendor that provides diversion services, (1) standards for immediate reporting by the vendor to the board of any and all noncompliance with process for providers or contractors that provide diversion services, including, but not limited to, specimen collectors, group meeting facilitators, and worksite monitors; (3) standards requiring the vendor to disapprove and discontinue the use of providers or contractors that fail to provide effective or timely diversion services; and (4) standards for a licensee's termination from the program and referral to enforcement.

## #13 Uniform Standard

1. A vendor must report to the board any major violation, as defined in Uniform Standard #10, within one (1) business day. A vendor must report to the board any minor violation, as defined in Uniform Standard #10, within five (5) business days.

2. A vendor's approval process for providers or contractors that provide diversion services, including, but not limited to, specimen collectors, group meeting facilitators, and worksite monitors is as follows:

   (a) Specimen Collectors:

   (1) The provider or subcontractor shall possess all the materials, equipment, and technical expertise necessary in order to test every licensee for which he or she is responsible on any day of the week.

   (2) The provider or subcontractor shall be able to scientifically test for urine, blood, and hair specimens for the detection of alcohol, illegal, and controlled substances.

   (3) The provider or subcontractor must provide collection sites that are located in areas throughout California.

   (4) The provider or subcontractor must have an automated 24-hour toll-free telephone system and/or a secure on-line computer database that allows the participant to check in daily for drug testing.

   (5) The provider or subcontractor must have or be subcontracted with operating collection sites that are engaged in the business of collecting urine, blood, and hair follicle specimens for the testing of drugs and alcohol within the State of California.

   (6) The provider or subcontractor must have a secure, HIPAA compliant, website or computer system to allow staff access to drug test results and compliance reporting information that is available 24 hours a day.

(7) The provider or subcontractor shall employ or contract with toxicologists that are licensed physicians and have knowledge of substance abuse disorders and the appropriate medical training to interpret and evaluate laboratory drug test results, medical histories, and any other information relevant to biomedical information.

(8) A toxicology screen will not be considered negative if a positive result is obtained while practicing, even if the practitioner holds a valid prescription for the substance.

(9) Must undergo training as specified in Uniform Standard #4 (6).

(b) Group Meeting Facilitators:

A group meeting facilitator for any support group meeting:

(1) must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse;

(2) must be licensed or certified by the state or other nationally certified organization;

(3) must not have a financial relationship, personal relationship, or business relationship with the licensee within the last year;

(4) shall report any unexcused absence within 24 hours to the board, and,

(5) shall provide to the board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.

(c) Work Site Monitors:

The worksite monitor must meet the following qualifications:

(1) Shall not have financial, personal, or familial relationship with the licensee, or other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the board; however, under no circumstances shall a licensee's worksite monitor be an employee of the licensee.

(2) The monitor's licensure scope of practice shall include the scope of practice of the licensee that is being monitored, be another health care professional if no

monitor with like practice is available, or, as approved by the board, be a person in a position of authority who is capable of monitoring the licensee at work.

(3) Shall have an active unrestricted license, with no disciplinary action within the last five (5) years.

(4) Shall sign an affirmation that he or she has reviewed the terms and conditions of the licensee's disciplinary order and/or contract and agrees to monitor the licensee as set forth by the board.

2. The worksite monitor must adhere to the following required methods of monitoring the licensee:

   a) Have face-to-face contact with the licensee in the work environment on a frequent basis as determined by the board, at least once per week.

   b) Interview other staff in the office regarding the licensee's behavior, if applicable.

   c) Review the licensee's work attendance.

3. Any suspected substance abuse must be verbally reported to the contractor, the board, and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the board's normal business hours the verbal report must be within one (1) hour of the next business day. A written report shall be submitted to the board within 48 hours of occurrence.

4. The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include:

   - the licensee's name;
   - license number;
   - worksite monitor's name and signature;
   - worksite monitor's license number;
   - worksite location(s);
   - dates licensee had face-to-face contact with monitor;
   - staff interviewed, if applicable;
   - attendance report;
   - any change in behavior and/or personal habits;

- any indicators that can lead to suspected substance abuse.

(d) Treatment Providers

Treatment facility staff and services must have:

(1) Licensure and/or accreditation by appropriate regulatory agencies;

(2) Sufficient resources available to adequately evaluate the physical and mental needs of the client, provide for safe detoxification, and manage any medical emergency;

(3) Professional staff who are competent and experienced members of the clinical staff;

(4) Treatment planning involving a multidisciplinary approach and specific aftercare plans;

(5) Means to provide treatment/progress documentation to the provider.

(e) General Vendor Requirements

The vendor shall disapprove and discontinue the use of providers or contractors that fail to provide effective or timely diversion services as follows:

(1) The vendor is fully responsible for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them. No subcontract shall relieve the vendor of its responsibilities and obligations. All state policies, guidelines, and requirements apply to all subcontractors.

(2) If a subcontractor fails to provide effective or timely services as listed above, but not limited to any other subcontracted services, the vendor will terminate services of said contractor within 30 business days of notification of failure to provide adequate services.

(3) The vendor shall notify the appropriate board within five (5) business days of termination of said subcontractor.

## #14 SENATE BILL 1441 REQUIREMENT

If a board uses a private-sector vendor that provides diversion services, the extent to which licensee participation in that program shall be kept confidential from the public.

## #14 Uniform Standard

The board shall disclose the following information to the public for licensees who are participating in a board monitoring/diversion program regardless of whether the licensee is a self-referral or a board referral. However, the disclosure shall not contain information that the restrictions are a result of the licensee's participation in a diversion program.

- Licensee's name;
- Whether the licensee's practice is restricted, or the license is on inactive status;
- A detailed description of any restriction imposed.

## #15 SENATE BILL 1441 REQUIREMENT

If a board uses a private-sector vendor that provides diversion services, a schedule for external independent audits of the vendor's performance in adhering to the standards adopted by the committee.

## #15 Uniform Standard

1. If a board uses a private-sector vendor to provide monitoring services for its licensees, an external independent audit must be conducted at least once every three (3) years by a qualified, independent reviewer or review team from outside the department with no real or apparent conflict of interest with the vendor providing the monitoring services. In addition, the reviewer shall not be a part of or under the control of the board. The independent reviewer or review team must consist of individuals who are competent in the professional practice of internal auditing and assessment processes and qualified to perform audits of monitoring programs.

2. The audit must assess the vendor's performance in adhering to the uniform standards established by the board. The reviewer must provide a report of their findings to the board by June 30 of each three (3) year cycle. The report shall identify any material inadequacies, deficiencies, irregularities, or other non-compliance with the terms of the vendor's monitoring services that would interfere with the board's mandate of public protection.

3. The board and the department shall respond to the findings in the audit report.

## #16 SENATE BILL 1441 Requirement

Measurable criteria and standards to determine whether each board's method of dealing with substance-abusing licensees protects patients from harm and is effective in assisting its licensees in recovering from substance abuse in the long term.

## #16 Uniform Standard

Each board shall report the following information on a yearly basis to the Department of Consumer Affairs and the Legislature as it relates to licensees with substance abuse problems who are either in a board probation and/or diversion program.

- Number of intakes into a diversion program
- Number of probationers whose conduct was related to a substance abuse problem
- Number of referrals for treatment programs
- Number of relapses (break in sobriety)
- Number of cease practice orders/license in-activations
- Number of suspensions
- Number terminated from program for noncompliance
- Number of successful completions based on uniform standards
- Number of major violations; nature of violation and action taken
- Number of licensees who successfully returned to practice
- Number of patients harmed while in diversion

The above information shall be further broken down for each licensing category, specific substance abuse problem (i.e. cocaine, alcohol, Demerol etc.), whether the licensee is in a diversion program and/or probation program.

If the data indicates that licensees in specific licensing categories or with specific substance abuse problems have either a higher or lower probability of success, that information shall be taken into account when determining the success of a program. It may also be used to determine the risk factor when a board is determining whether a license should be revoked or placed on probation.

The board shall use the following criteria to determine if its program protects patients from harm and is effective in assisting its licensees in recovering from substance abuse in the long term.

- At least 100 percent of licensees who either entered a diversion program or whose license was placed on probation as a result of a substance abuse problem successfully completed either the program or the probation, or had their license to practice revoked or surrendered on a timely basis based on noncompliance of those programs.

- At least 75 percent of licensees who successfully completed a diversion program or probation did not have any substantiated complaints related to substance abuse for at least five (5) years after completion.