



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee  
Agenda**



Notice is hereby given that a public meeting of the Enforcement Subcommittee of the Dental Hygiene Board of California (DHBC) will be held as follows:

**ENFORCEMENT SUBCOMMITTEE MEETING**

Friday, April 12, 2019  
DHBC Headquarters Building  
2005 Evergreen Street, 1st Floor Hearing Room  
Sacramento, CA 95815

**Enforcement Subcommittee Members:**

Timothy Martinez, DMD, Public Health Dentist, Chair  
Michelle Hurlbutt, RDH Educator  
Sandy Klein, Public Member  
Noel Kelsch, RDHAP Member

**Upon Conclusion of the Education Subcommittee meeting**

**Agenda**

**ENF 1 – Roll Call**

**ENF 2 – Public Comment for Items Not on the Agenda**

*[The DHBC may not discuss or take action on any matter raised during the Public Comment section that is not included on this agenda, except whether to decide to place the matter on the agenda of a future meeting (Government Code §§ 11125 & 11125.7(a).]*

**ENF 3 – Chairperson's Report**

**ENF 4 – Approval of the November 16, 2018 Enforcement Subcommittee Meeting Minutes**

**ENF 5 – Enforcement Statistics**

**ENF 6 – Enforcement Performance Measures**

**ENF 7 – Discussion, Possible Action, and Recommendation to the Full Board on Revisions to the Uniforms Standards Related to Substance Abuse and Disciplinary Guidelines**

**ENF 8 – Discussion, Possible Action, and Recommendation to the Full Board on the DHBC Diversion Program**

**ENF 9 – Future Agenda Items**

**ENF 10 – Adjournment of the Enforcement Subcommittee Meeting**

DHBC members who are not members of this subcommittee may attend meetings as observers only and may not participate or vote. Action may be taken on any item listed on this agenda, including information only items. Items may be taken out of order for convenience, to accommodate speakers, or maintain a quorum. All times are approximate and subject to change. The meeting may be cancelled without notice. For verification of the meeting, call (916) 263-1978 or access the Committee's Web Site at [www.dhcc.ca.gov](http://www.dhcc.ca.gov).

The meeting facilities are accessible to individuals with physical disabilities. A person who needs a disability-related accommodation or modification in order to participate in the meeting may make a request by contacting Elizabeth Elias, Assistant Executive Officer, at 916-263-2010, or email [Elizabeth.elias@dca.ca.gov](mailto:Elizabeth.elias@dca.ca.gov) or send a written request to the DHBC at 2005 Evergreen Street, Suite 2050, Sacramento, CA 95815. Providing your request at least five (5) business days prior to the meeting will help to ensure availability of the requested accommodation.



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 2:**

**Public Comment for Items Not on the Agenda**

[The DHBC may not discuss or take action on any matter raised during the Public Comment section that is not included on this agenda, except whether to decide to place the matter on the agenda of a future meeting (Government Code §§ 11125 & 11125.7(a).]



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 3:**

**Chairperson's Report:  
A Verbal Report Will Be Given**



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 4:**

**Approval of the November 16, 2018 Enforcement  
Subcommittee Meeting Minutes**



## **Enforcement Subcommittee Meeting Minutes**

### *Friday, November 16, 2018*

Radisson Hotel Fresno - Conference Center  
1055 Van Ness Avenue  
Fresno CA 93721

#### **DHCC Members Present:**

Michelle Hurlbutt, Chairperson, Registered Dental Hygienist (RDH) Educator  
Timothy Martinez, Doctor of Dental Medicine (DMD)  
Edcelyn Pujol, Public Member  
Garry Shay, Public Member

#### **DHCC Staff Present:**

Anthony Lum, Executive Officer  
Adina Pineschi-Petty, Doctor of Dental Surgery (DDS), Educational, Legislative, and Regulatory Specialist  
Daniel Rangel, DHCC Special Investigator  
Jason Hurtado, Department of Consumer Affairs (DCA) Legal Counsel for the DHCC

#### **Public Present:**

Vickie Kimbrough, Taft College, Purple Pen  
Jean Kulbeth, Fresno City College  
Karen Fischer, Executive Officer, Dental Board of California (DBC)  
Joanne Pacheco, Fresno City College  
JoAnn Galliano, MEd, RDH, DHCC Educational Consultant and Subject Matter Expert (SME)  
Brenda Serpa, SJVC – Visalia  
Leslie Nazaroff, San Joaquin Valley College (SJVC) – Ontario  
Kelly Reich, Western Regional Examination Board (WREB)  
Maureen Titus, California Dental Hygienist's Association (CDHA)  
Sabrina Santucho, Concorde Career College (CCC) – San Bernardino  
Arezou Goshtasbi, CCC – Garden Grove  
Laurel Sampson, CCC – San Diego  
Brianna Pittman-Spencer, California Dental Association (CDA)  
Kim Laudenslager – Central Regional Dental Testing Service (CRDTS)  
Sandra Henriquez, CDHA  
Tracy Goldman, CDHA  
Lisa Okamoto, CDHA  
Rhoda Gonzales, CDHA  
Thomas Stewart, DDS, President, DBC  
Edward Cramp, Duane Morris, LLP

## 1. Roll Call and Establishment of a Quorum

Dr. Michelle Hurlbutt, Chairperson of the Enforcement Subcommittee, called the meeting to order at **11:11 a.m.** Roll call was taken, and a quorum was established with all four members present.

## 2. Public Comments for Items Not on the Agenda

There were no comments from the public.

## 3. Chairperson's Report

Chair Hurlbutt: Stated that she attended the August 20, 2018 meeting with Senator Hill with the educators who were concerned with the DHCC Sunset legislation. In addition, she spoke with EO Lum with regard to the Subcommittee's concerns about the Diversion program. Research will commence shortly as the contract is up for renewal in March 2019.

No questions or comments received.

## 4. Approval of the April 20, 2018 Enforcement Subcommittee Meeting Minutes

Chair Hurlbutt: Requested a motion.

Motion: Motion to Adopt the April 20, 2018 Enforcement Subcommittee Meeting Minutes.

Motion: Garry Shay

Second: Edcelyn Pujol

Chair Hurlbutt: Requested comments from the public or the Subcommittee.

No questions or comments received.

***Vote: Motion to Adopt the April 20, 2018 Enforcement Subcommittee Meeting Minutes. Passed 4:0.***

Name	Aye	Nay	Abstain
Michelle Hurlbutt	X		
Timothy Martinez	X		
Edcelyn Pujol	X		
Garry Shay	X		

## 5. Enforcement Statistics and Performance Measures (Informational Only)

Daniel Rangel presented Enforcement Statistics and Performance Measures

Statistics: Complaint intake was consistent throughout the years and continued throughout the first quarter. Number of citations is lower than past years, as past years included a backlog due to fingerprinting issues.

Enforcement actions: Five cases are with the Attorney General's Office. Majority allegations are due to criminal actions and not related to duties as a dental hygienist.

Probationers: Forty-four probationers. Higher than past years, expects to see a few more.

Open Complaints: Thirty-five complaints are currently being investigated. Large amount within the one-two year timeframe that are currently being prioritized. Tracking system currently in use. Greater concern are cases over two years old. One currently in the Attorney General's Office. Second one being prepared for the Attorney General's Office. Three are pending closure. Goal is to close all cases over two years old within the next few months.

Performance Measures: Limited amount of data present as we are only one quarter into this fiscal year and dissemination of information is behind due to DCA staffing issues.

EO Lum: DCA staff who tracked the performance measures moved on and DCA is trying to backfill those positions. DCA is working diligently to bring all information current.

Chair Hurlbutt: Requested comments from the Subcommittee members or public.

Mr. Shay: Questioned if the Committee could assist to "speed-up" the process.

Mr. Rangel: Explained that the process may slow down for various legal reasons and not necessarily under our control.

Chair Hurlbutt: Questioned the sixteen complaints that are in process. That are one to two years old. She requested clarification if that was under the Committee's control. She questioned the plan to resolve the open cases.

Mr. Rangel: Confirmed the sixteen complaints that are in process are under the Committee's control. Prioritization is taking place and processes are being worked on (investigations, SME contract renewals, etc.). Standardization of the investigative processes is in progress and is being vetted through the EO and Legal.

EO Lum: Stated investigations are a lengthy process and staff works to expedite the process to the best of their ability, however there are many third-parties not under our control which may delay the process.



Chair Hurlbutt: Requested the current plan for the sixteen open cases.

EO Lum: Stated they are in process and awaiting documentation to continue the process.

Chair Hurlbutt: Questioned the need for more investigators.

EO Lum: Stated he is working on additional staff.

Chair Hurlbutt requested questions from the public.

None received.

## 6. Future Agenda Items

Chair Hurlbutt requested future agenda items.

Mr. Shay: Stated that in the previous meeting minutes there was a motion to postpone discussion of amendments to the Uniform Standards related to Substance Abuse and Disciplinary Guidelines and was tabled until this meeting.

EO Lum: Stated that this item was not added to the agenda as language stalled in the vetting process as well as to a department-wide language update, as the language is from 2012.

Mr. Shay: Requested the item to be placed on the next meeting agenda.

Chair Hurlbutt: Questioned if the DCA will be providing language to the DHCC that may affect the seven years in the Disciplinary Guidelines.

EO Lum: Stated that this may be possible but is unknown at this time.

Chair Hurlbutt: Requested Diversion to be placed on the agenda.

Chair Hurlbutt requested additional agenda items or comments from the Subcommittee and public.

None received.

## 7. Adjournment

Chair Hurlbutt adjourned the Dental Hygiene Enforcement Subcommittee meeting at **11:25 a.m.**



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 5:**

**Enforcement Statistics**



## MEMORANDUM

<b>DATE</b>	March 8, 2019
<b>TO</b>	Enforcement Committee Dental Hygiene Board of California
<b>FROM</b>	Daniel Rangel, Special Investigator
<b>SUBJECT</b>	<b>ENF 5 – Enforcement Statistics: Investigation Case Aging</b>

Below is a summary of the enforcement program's investigation case aging statistics as of **March 8, 2019**:

### **Open Investigation Cases: 35**

#### **Complaint Case Aging:**

0-6 Months	7	20 %
7-12 Months	7	20 %
13-18 Months	8	23 %
19-24 Months	7	20 %
25+ months	6	17 %

#### **Investigation Cases Closed:**

The total number of complaint cases closed between July 1, 2018- March 8, 2019 was **3**. In comparison, the total number of complaint cases closed in FY 2017-2018 was **18**.

The average age of an investigation case is 15 months and 27 days. The median age of an investigation case is 16 months.



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee**

**Agenda Item ENF 6:  
Enforcement Performance Measures**

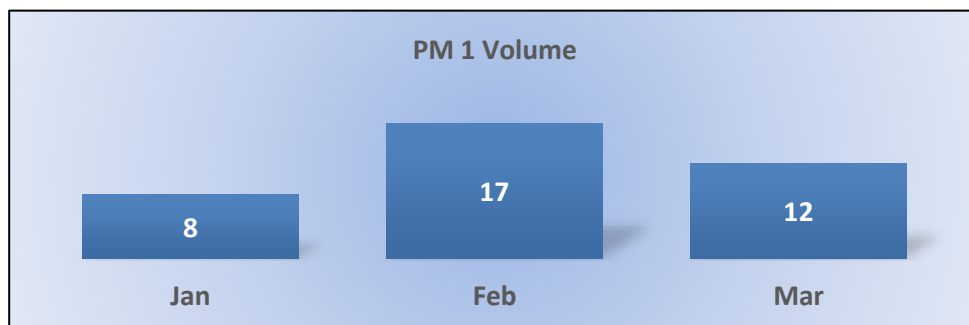
## Enforcement Performance Measures

### Q3 Report (January - March 2018)

To ensure stakeholders can review the Board's progress toward meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures will be posted publicly on a quarterly basis.

#### PM1 | Volume

Number of complaints and convictions received.

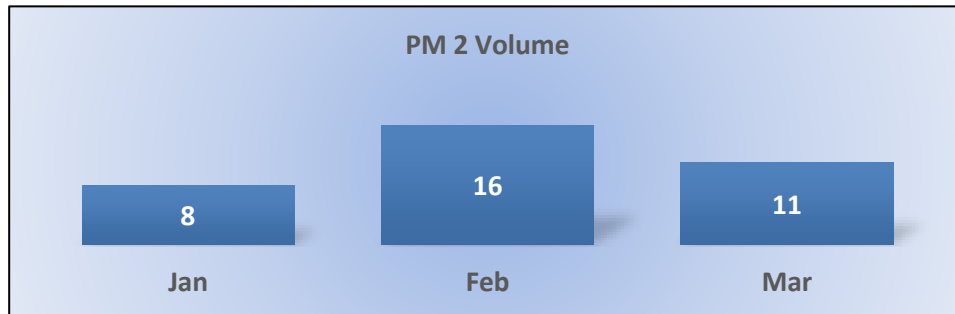


**Total Received: 37 | Monthly Average: 12**

**Complaints: 6 | Convictions: 31**

### PM2 | Intake – Volume

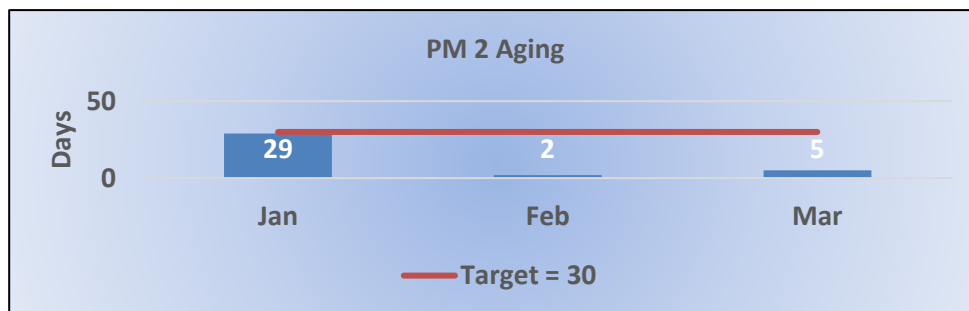
Number of complaints closed or assigned to an investigator.



**Total: 35 | Monthly Average: 12**

### PM2 | Intake – Cycle Time

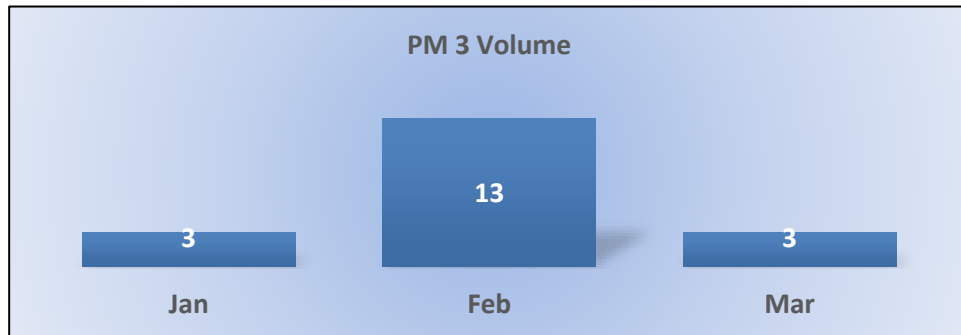
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



**Target Average: 30 Days | Actual Average: 12 Days**

### PM3 | Investigations – Volume

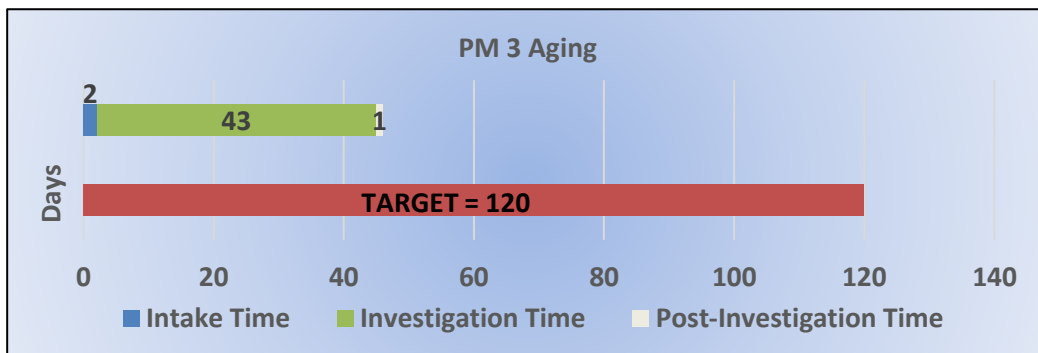
Number of investigations closed (not including cases transmitted to the Attorney General).



**Total: 19 | Monthly Average: 6**

### PM3 | Investigations – Cycle Time<sup>1</sup>

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.  
(Includes intake and investigation)

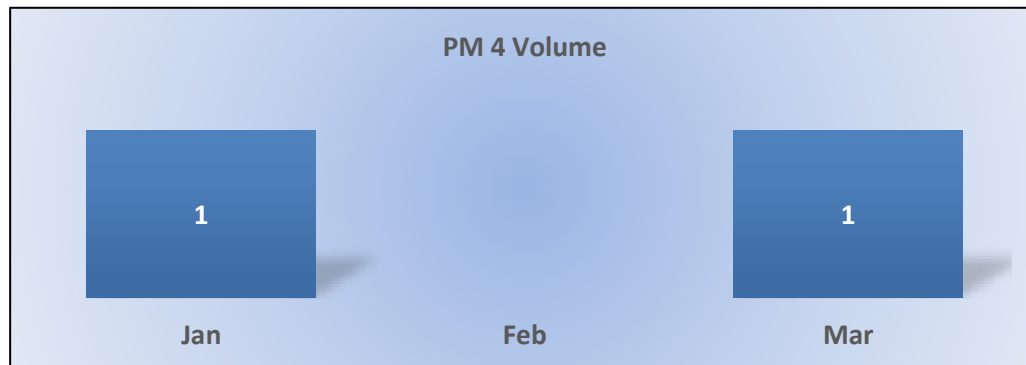


**Target Average: 120 Days | Actual Average: 44 Days**

<sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 “Actual Average”, and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

### PM4 | Formal Discipline – Volume

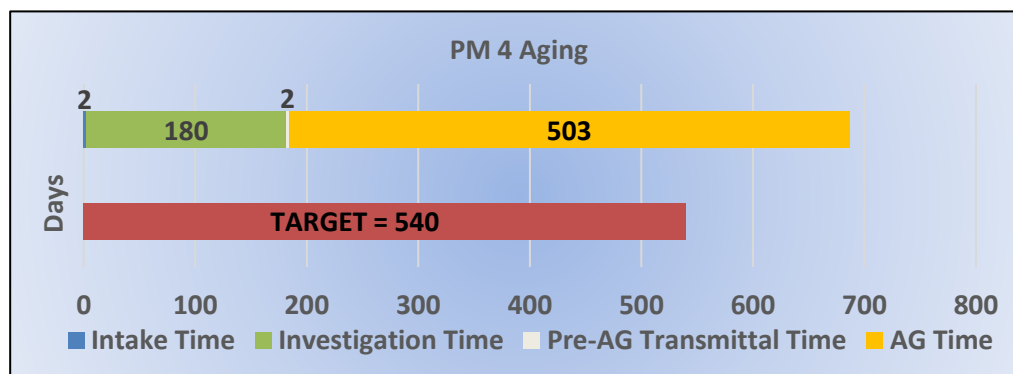
Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Total: 2 | Monthly Average: 1**

### PM4 | Formal Discipline – Cycle Time<sup>2</sup>

Average number of days to close cases transmitted to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Target Average: 540 Days | Actual Average: 681 Days**

<sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).



### **PM7 | Probation Intake – Volume**

Number of new probation cases.

*No new probationers were assigned for monitoring this quarter.*

### **PM7 | Probation Intake – Cycle Time**

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

*No new probationers were assigned for monitoring this quarter*

### **PM8 | Probation Violation Response – Volume**

Number of probation violation cases.

*The Board did not have any probation violations this quarter.*

### **PM8 | Probation Violation Response – Cycle Time**

Average number of days from the date a violation of probation is reported,  
to the date the assigned monitor initiates appropriate action.

*The Board did not have any probation violations this quarter.*

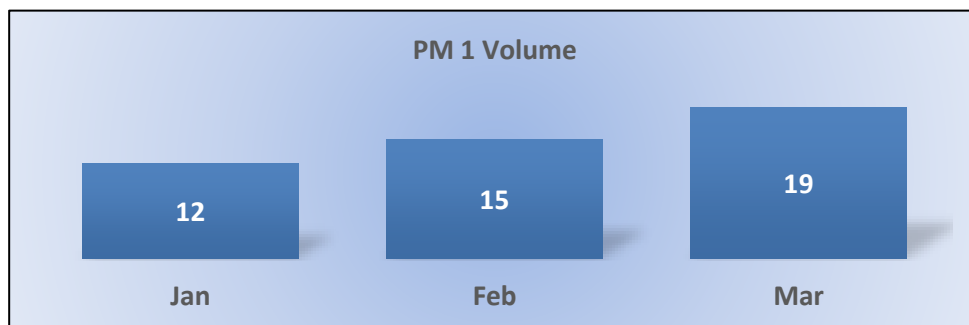
## Enforcement Performance Measures

### Q4 Report (April - June 2018)

To ensure stakeholders can review the Board's progress toward meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures will be posted publicly on a quarterly basis.

#### PM1 | Volume

Number of complaints and convictions received.

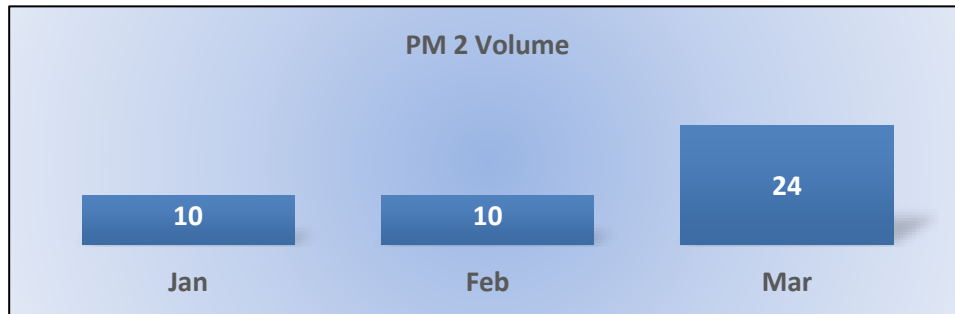


**Total Received: 46 | Monthly Average: 15**

**Complaints: 8 | Convictions: 38**

## PM2 | Intake – Volume

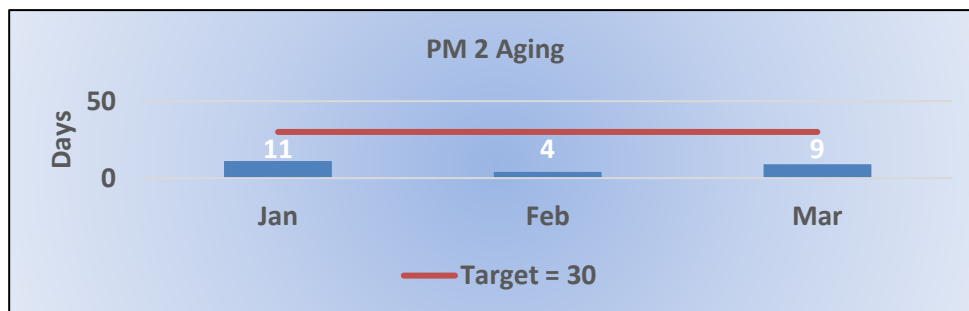
Number of complaints closed or assigned to an investigator.



**Total: 44 | Monthly Average: 15**

## PM2 | Intake – Cycle Time

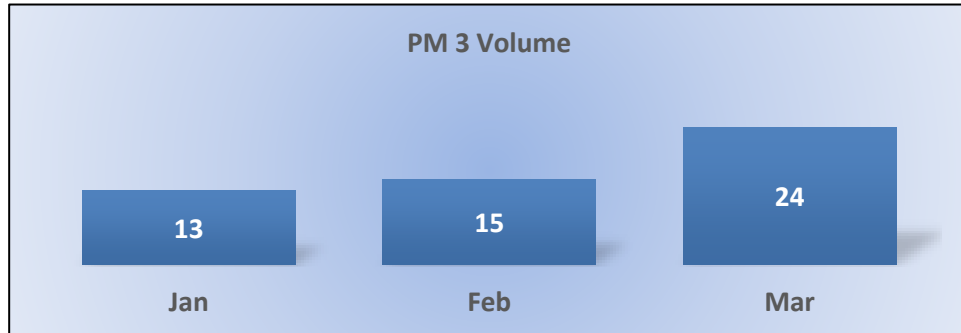
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



**Target Average: 30 Days | Actual Average: 8 Days**

### PM3 | Investigations – Volume

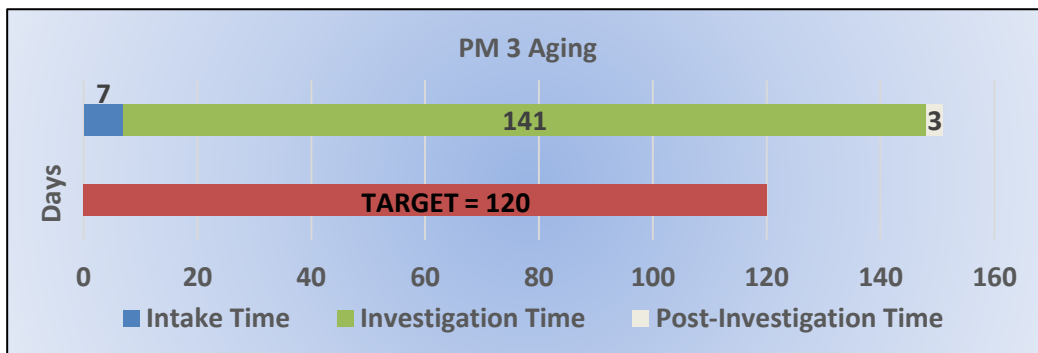
Number of investigations closed (not including cases transmitted to the Attorney General).



**Total: 52 | Monthly Average: 17**

### PM3 | Investigations – Cycle Time<sup>1</sup>

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.  
(Includes intake and investigation)

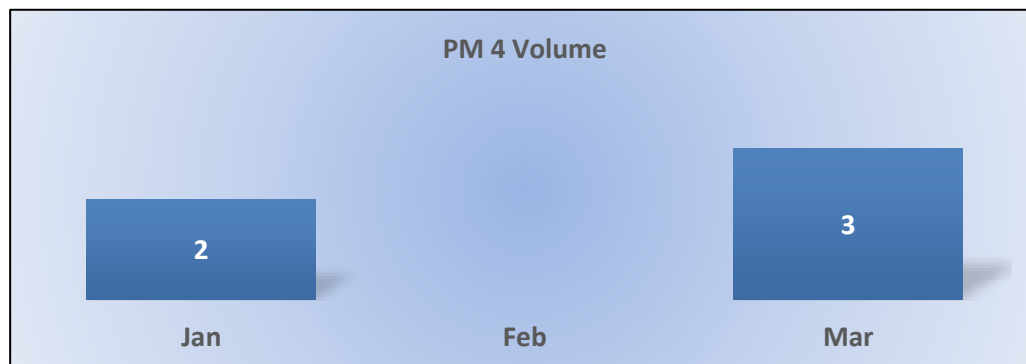


**Target Average: 120 Days | Actual Average: 149 Days**

<sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

### PM4 | Formal Discipline – Volume

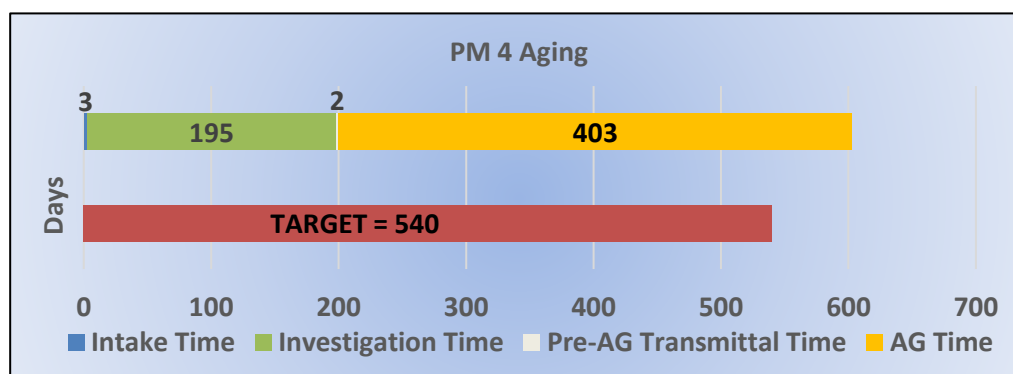
Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Total: 5 | Monthly Average: 2**

### PM4 | Formal Discipline – Cycle Time<sup>2</sup>

Average number of days to close cases transmitted to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Target Average: 540 Days | Actual Average: 616 Days**

<sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 “Actual Average”, and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).

### **PM7 | Probation Intake – Volume**

Number of new probation cases.

*No new probationers were assigned for monitoring this quarter.*

### **PM7 | Probation Intake – Cycle Time**

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

*No new probationers were assigned for monitoring this quarter*

### **PM8 | Probation Violation Response – Volume**

Number of probation violation cases.

*The Board did not have any probation violations this quarter.*

### **PM8 | Probation Violation Response – Cycle Time**

Average number of days from the date a violation of probation is reported,  
to the date the assigned monitor initiates appropriate action.

*The Board did not have any probation violations this quarter.*



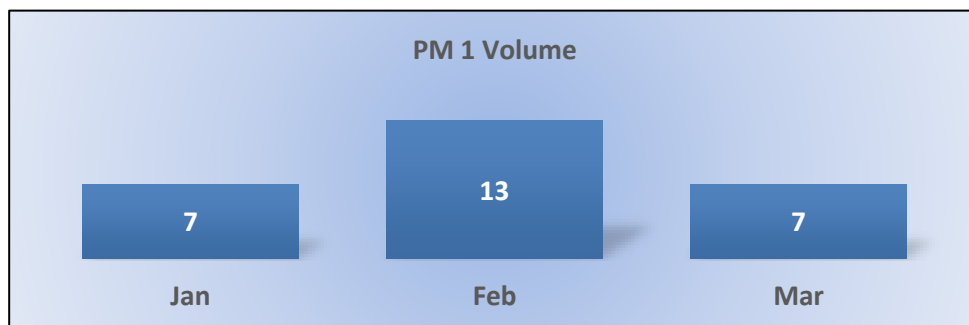
## Enforcement Performance Measures

### Q1 Report (July - September 2018)

To ensure stakeholders can review the Board's progress toward meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures will be posted publicly on a quarterly basis.

#### PM1 | Volume

Number of complaints and convictions received.

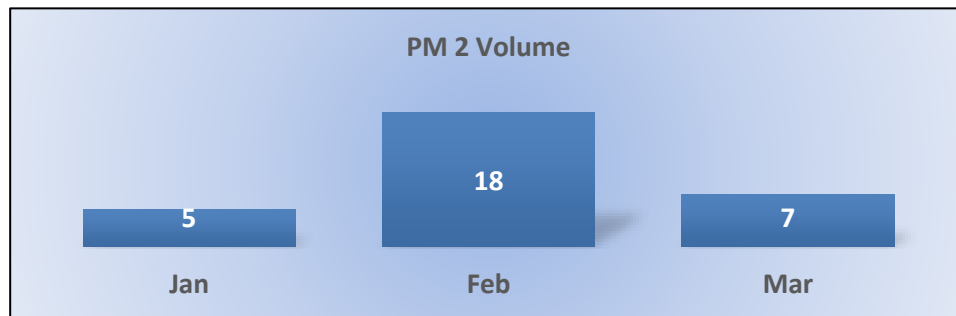


**Total Received: 27 | Monthly Average: 9**

**Complaints: 7 | Convictions: 20**

## PM2 | Intake – Volume

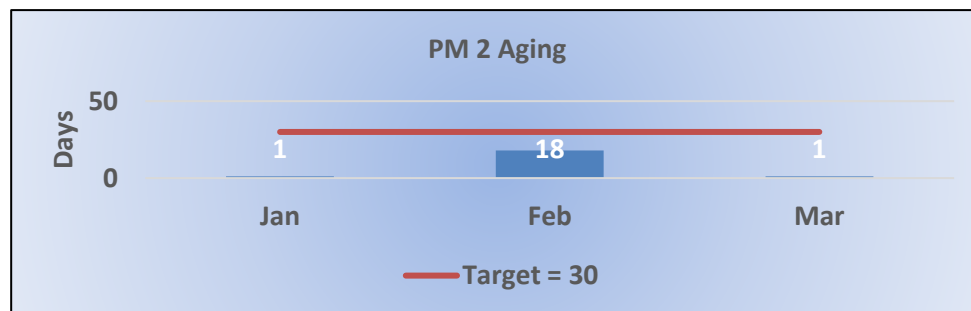
Number of complaints closed or assigned to an investigator.



**Total: 30 | Monthly Average: 10**

## PM2 | Intake – Cycle Time

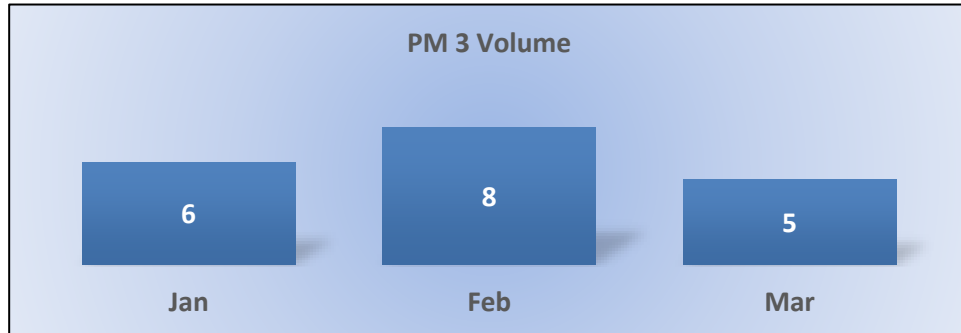
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



**Target Average: 30 Days | Actual Average: 11 Days**

### PM3 | Investigations – Volume

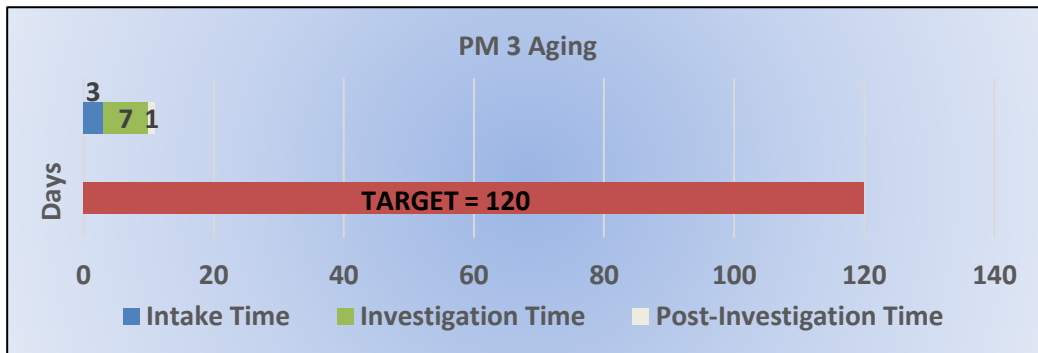
Number of investigations closed (not including cases transmitted to the Attorney General).



**Total: 19 | Monthly Average: 6**

### PM3 | Investigations – Cycle Time<sup>1</sup>

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.  
(Includes intake and investigation)

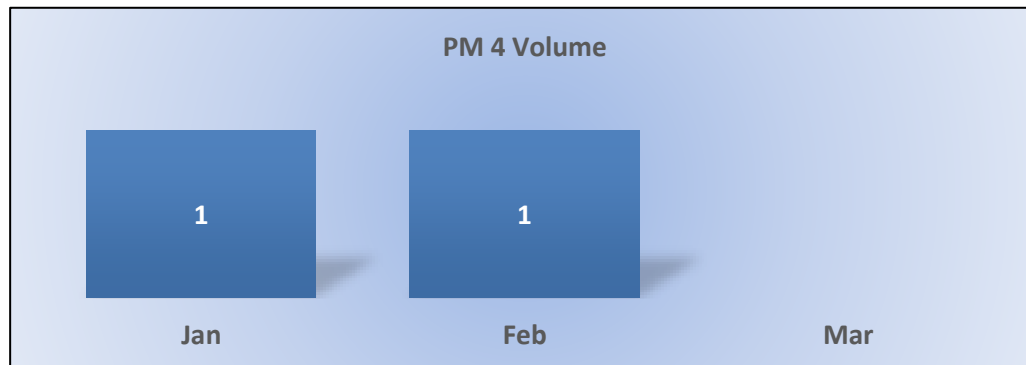


**Target Average: 120 Days | Actual Average: 10 Days**

<sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

### PM4 | Formal Discipline – Volume

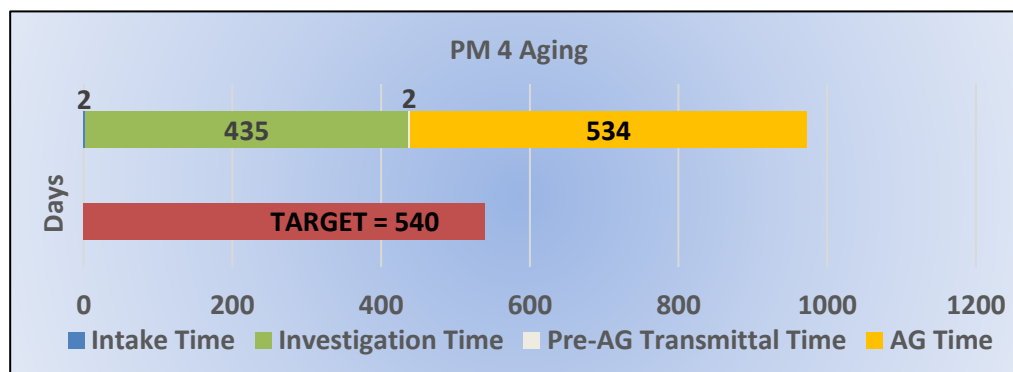
Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Total: 2 | Monthly Average: 1**

### PM4 | Formal Discipline – Cycle Time<sup>2</sup>

Average number of days to close cases transmitted to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Target Average: 540 Days | Actual Average: 966 Days**

<sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).

### **PM7 | Probation Intake – Volume**

Number of new probation cases.

*No new probationers were assigned for monitoring this quarter.*

### **PM7 | Probation Intake – Cycle Time**

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

*No new probationers were assigned for monitoring this quarter*

### **PM8 | Probation Violation Response – Volume**

Number of probation violation cases.

*The Board did not have any probation violations this quarter.*

### **PM8 | Probation Violation Response – Cycle Time**

Average number of days from the date a violation of probation is reported,  
to the date the assigned monitor initiates appropriate action.

*The Board did not have any probation violations this quarter.*

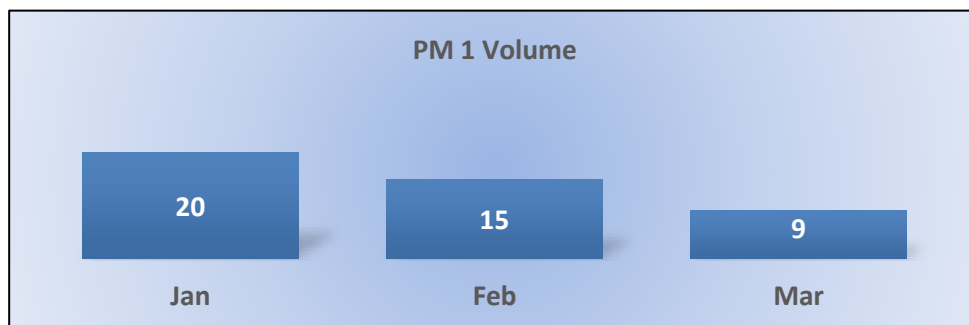
## Enforcement Performance Measures

### Q2 Report (October - December 2018)

To ensure stakeholders can review the Board's progress toward meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures will be posted publicly on a quarterly basis.

#### PM1 | Volume

Number of complaints and convictions received.

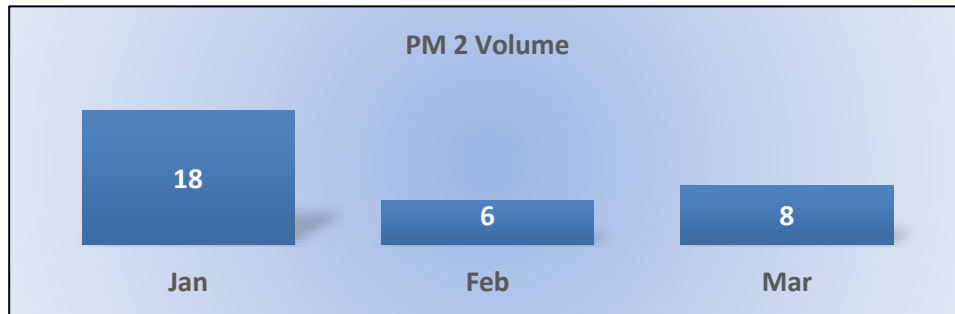


**Total Received: 44 | Monthly Average: 15**

**Complaints: 7 | Convictions: 37**

## PM2 | Intake – Volume

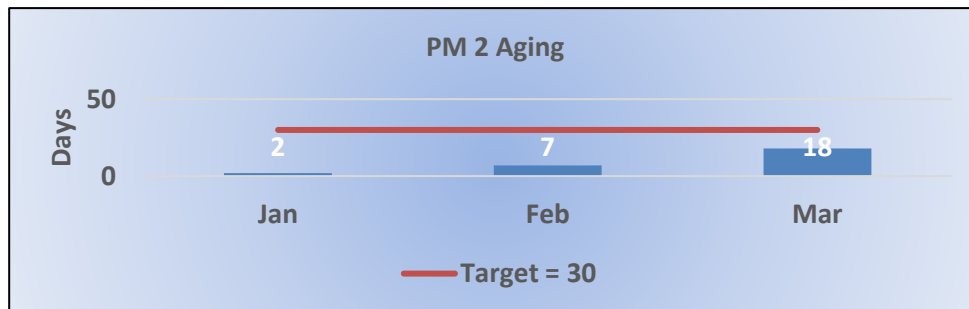
Number of complaints closed or assigned to an investigator.



**Total: 32 | Monthly Average: 11**

## PM2 | Intake – Cycle Time

Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.

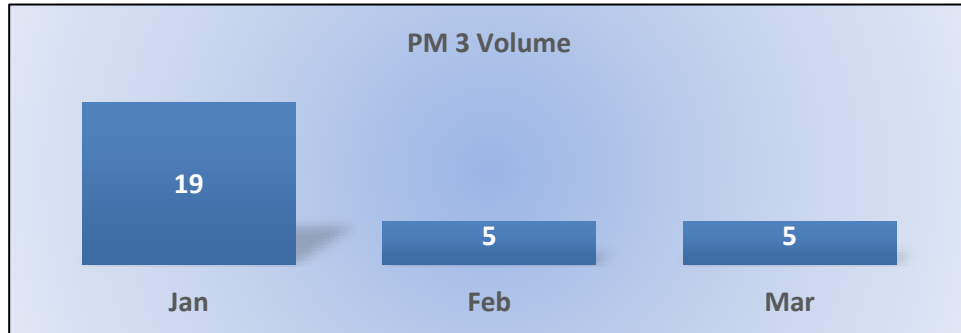


**Target Average: 30 Days | Actual Average: 7 Days**



### PM3 | Investigations – Volume

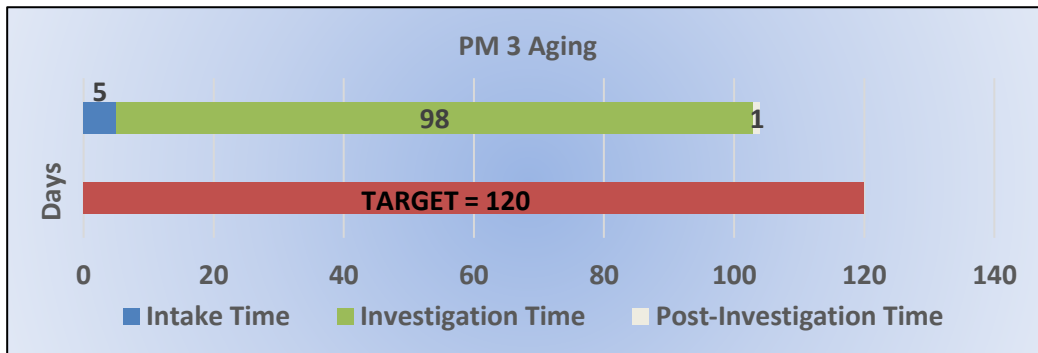
Number of investigations closed (not including cases transmitted to the Attorney General).



**Total: 29 | Monthly Average: 10**

### PM3 | Investigations – Cycle Time<sup>1</sup>

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.  
(Includes intake and investigation)

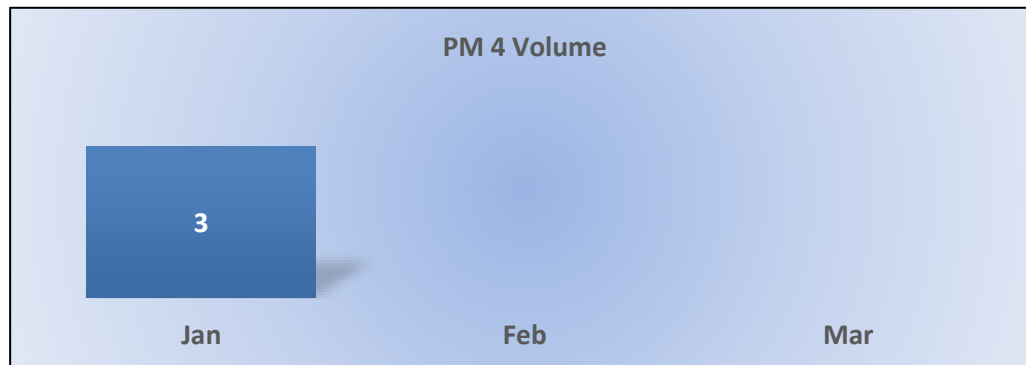


**Target Average: 120 Days | Actual Average: 102 Days**

<sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 “Actual Average”, and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

### PM4 | Formal Discipline – Volume

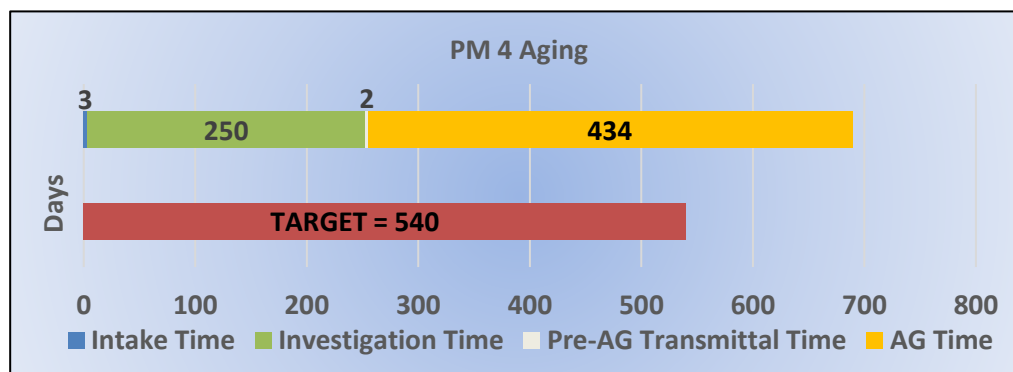
Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Total: 3 | Monthly Average: 1**

### PM4 | Formal Discipline – Cycle Time<sup>2</sup>

Average number of days to close cases transmitted to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



**Target Average: 540 Days | Actual Average: 684 Days**

<sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).

### **PM7 | Probation Intake – Volume**

Number of new probation cases.

*No new probationers were assigned for monitoring this quarter.*

### **PM7 | Probation Intake – Cycle Time**

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

*No new probationers were assigned for monitoring this quarter*

### **PM8 | Probation Violation Response – Volume**

Number of probation violation cases.

*The Board did not have any probation violations this quarter.*

### **PM8 | Probation Violation Response – Cycle Time**

Average number of days from the date a violation of probation is reported,  
to the date the assigned monitor initiates appropriate action.

*The Board did not have any probation violations this quarter.*



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee**

**Agenda Item ENF 7:  
Discussion, Possible Action, and Recommendation  
to the Full Board on Revisions to the Uniforms  
Standards Related to Substance Abuse and  
Disciplinary Guidelines**



## MEMORANDUM

<b>DATE</b>	April 12, 2019
<b>TO</b>	Enforcement Subcommittee
<b>FROM</b>	Anthony Lum, Executive Officer
<b>SUBJECT</b>	ENF 07.10 DHBC Uniform Standards Related to Substance Abuse and Disciplinary Guidelines

### Background:

Pursuant to 16 CCR section 1138, the Dental Hygiene Board of California (DHBC) created its Uniform Standards Related to Substance Abuse and Disciplinary Guidelines to be used for disciplinary actions under the Administrative Procedures Act (Section 11400 et seq. of the Government Code). These standards and guidelines were created in 2012 and because it has been seven years since its creation and Board members have requested to agendize them for review, discussion and possible action.

### Staff Recommendations:

Staff requests the Board to discuss, review, and recommend proposed revisions of the Uniform Standards Related to Substance Abuse and Disciplinary Guidelines to the Full Board to improve efficiencies, incorporate potential changes, and update them for its enforcement cases.

#### Pros:

Will allow updated revisions to the standards and guidelines for enforcement that may be overdue or out of date depending what aspects of them are revised.

#### Cons:

None, as periodic revisions of these standards and guidelines should be addressed.



## Dental Hygiene Committee of California



## Uniform Standards Related to Substance Abuse and Disciplinary Guidelines

(April, 2012)

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# Introduction

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The Dental Hygiene Committee of California is a consumer protection agency with the primary mission of protecting consumers of dental hygiene services from potentially harmful licensees. In keeping with its obligation to protect the consumer, the Committee has adopted the following Disciplinary Guidelines for disciplinary orders and conditions of probation for violations of the laws governing the practice of dental hygienist as well as Uniform Standards Related to Substance Abuse and Disciplinary Guidelines

The Committee carefully considers all facts and circumstances associated with each case in its efforts to protect consumers. Subsequently, an Administrative Law Judge (“ALJ”) shall provide in all proposed decisions a detailed basis of his or her decision in the “Findings of Fact” particularly when there is a deviation from the Disciplinary Guidelines. Justification for the deviation shall be clearly outlined in the decision to enable the Committee to understand the reasons and to evaluate the suitability of the decision. However, an ALJ is prohibited from deviating from the Uniform Standards Related to Substance Abuse.

If at the time of hearing the ALJ finds that the Respondent, for any reason, is not capable of safe practice, the ALJ shall order outright revocation of the license. This is particularly important in cases of patient sexual abuse or bodily harm.

Suspension of a license may also be appropriate where the public may be better protected if the practice of the dental hygienist is suspended in order to correct deficiencies in skills, education or rehabilitation.

Dental Hygiene Committee of California

**UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE AND  
DISCIPLINARY GUIDELINES**

Section 1138 Division 11 of Title 16, Article 10 entitled “Uniform Standards Related to Substance Abuse and Disciplinary Guidelines” of the California Code of Regulations is added to read:

Article 10. Uniform Standards Related to Substance Abuse and  
Disciplinary Guidelines

Section 1138. Uniform Standards Related to Substance Abuse and Disciplinary Guidelines.

In reaching a decision on a disciplinary action under the Administrative Procedure Act (Section 11400 et seq. of the Government Code) the Committee shall comply with the “Uniform Standards Related to Substance Abuse and Disciplinary Guidelines” Dated April 2012 that are hereby incorporated by reference. Deviation from the Disciplinary Guidelines, including the standard terms of probation, is appropriate where the Committee, in its sole discretion, determines that the facts of the particular case warrant such a deviation. However, neither the Committee 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. The Disciplinary Guidelines apply to all disciplinary matters; the Uniform Standards describe the consequences that apply to a substance abusing licensee. If a licensee has not been identified as a substance abusing licensee, for example, through stipulation, in a case involving drugs or alcohol, a clinical diagnostic evaluation shall be ordered and the remaining provisions of the uniform standards may be made contingent at the discretion of the Committee (DHCC) upon a clinical diagnostic evaluator’s report that the licensee has a substance abuse problem. The clinical diagnostic evaluation report shall be submitted in its entirety to the Committee.

Note: Authority cited: Sections 315, 315.4, 1905 and 1906 of the Business and Professions Code; and Section 11400.20 of the Government Code. Reference: Sections 315, 315.2, 315.4, 1947, 1949, 1950 and 1950.5 of the Business and Professions Code; and Sections 11400.20 and 11425.50(e) of the Government Code.

## **UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE**

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

### **PETITION FOR REINSTATEMENT**

Nothing herein shall limit a committee'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 committee that contains different provisions for reinstatement or reduction of penalty.

### **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 to conduct clinical diagnostic evaluations, has 3 years experience in providing evaluations of health care professionals with substance abuse disorders, and is approved by the Committee. The evaluations shall be conducted in accordance with accepted 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, familial or business relationship with the licensee within the last 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 Committee within 24 hours of such a determination.

For all evaluations, a final written report shall be provided to the Committee no later than 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 Committee shall review the clinical diagnostic evaluation to 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.

The respondent 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.

When determining if the licensee should be required to participate in inpatient, outpatient or any other type of treatment, the Committee 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 problem, and whether the licensee is a threat to himself or herself or others.

### **Worksite Monitor Requirements:**

If the Committee 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 Committee:

The worksite monitor shall not have any current or former financial, personal, familial or business 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 Committee. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the Committee. However, under no circumstances shall a licensee's worksite monitor be an employee 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 or be a person in a position of authority who is capable of monitoring the licensee at work.

The worksite monitor shall have an active unrestricted license, with no disciplinary action within the last 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 Committee.

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

- a) Have face-to-face contact with the licensee at least once per week in the work environment or more frequently if required by the Committee;
- b) Interview other staff in the office regarding the licensee's behavior, if applicable; and
- c) Review the licensee's work attendance.

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

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

The worksite monitor shall complete and submit a written report monthly or as directed by the Committee. 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 and sign an agreement with the worksite monitor and the Committee to allow the Committee to communicate with the worksite monitor.

### **Positive Test**

If a licensee tests positive for a banned substance, the Committee shall order the licensee to cease practice. The Committee shall also immediately notify the licensee's employer that the licensee has been ordered to cease practice and he or she may not resume work until the order is lifted.

### **Major and Minor Violations**

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

- 1. Failure to complete a Committee 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 state or federal law;
6. Failure to obtain biological testing for substance abuse;
7. Testing positive for a banned substance; and
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.

If a licensee commits a major violation, the Committee shall order the licensee to cease any practice of dental hygiene and refer the matter for disciplinary action or other action as determined by the Committee.

### **Consequences**

Major Violations include, but are not limited to following:

1. License will be ordered to cease practice.
  - a. the licensee must undergo a new clinical diagnostic evaluation, and
  - b. the licensee must test negative for a 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 committee.

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

1. Failure to submit required documentation as required;
2. Unexcused absence at required meetings;
3. Failure to contact a monitor as required; and
4. Any other violations that do not present an immediate threat to the licensee or to the public.

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

### **Consequences**

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 committee

## Drug Testing Standards

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:

1. The Committee may order a licensee to drug test at any time. Additionally, each licensee shall be RANDOMLY drug tested 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 test identified in level II, is for the second year of probation or diversion, and up to 5 years thereafter.

Nothing precludes the Committee from increasing the number of random tests for any reason. If the Committee finds or reasonably suspects that a licensee has committed a violation of the Committee's testing program or who has committed a Major Violation, as identified above, 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.

2. Licensees shall be randomly drug tested at least 52 times per year for the first year and at any time as directed by the Committee. After the first year, licensee shall be randomly drug tested at least 36 times per year, and at any time as directed by the Committee;
3. Drug testing may be required on any day, including weekends and holidays;
4. 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 or she will be tested again. The Committee should be prepared to report data to support back-to-back testing, as well as numerous different intervals of testing.
5. Licensees shall be required to make daily contact to determine if drug testing is required;
6. Licensees shall be drug tested on the date of notification as directed by the Committee;
7. Collection of specimens shall be observed;
8. Prior to vacation or absence, alternative drug testing location(s) must be approved by the Committee; and

The Committee may use other testing methods in place of, or to supplement biological sample testing, if the alternate testing method is appropriate.



## **EXCEPTION TO TESTING FREQUENCY SCHEDULE**

### **I. PREVIOUS TESTING SOBRIETY**

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

### **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 a 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 committee 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 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 1 testing frequency schedule, otherwise level II testing shall be in effect.

### **IV. TOLLING**

A committee may postpone all testing for any person whose probation of 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 committee 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 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 committee, but not to be less than 24 times per year.

## **Disciplinary Guidelines**

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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), offenses, or crime(s) under consideration;
2. Actual or potential harm to the public;
3. Actual or potential harm to any patient;
4. Prior disciplinary record;
5. Number and/or variety of current violations;
6. Mitigation evidence; or aggravation
7. Rehabilitation evidence;
8. In case of a criminal conviction, compliance with conditions of sentence or court-ordered probation;
9. Overall criminal record;
10. Time passed since the act(s) or offense(s) occurred; and
11. If applicable, evidence of expungement proceedings pursuant to Penal Code Section 1203.4.

## **Situations in which Revocation Shall Be Imposed**

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In addition to violation of the laws governing dental hygienist, there are other circumstances that necessitate outright revocation as the recommended penalty:

1. Failure to file a notice of defense or to appear at a disciplinary hearing, where the Committee has requested revocation;
2. Violation of the conditions of a Respondent's probation order;
3. Substantiated evidence or convictions of physical or sexual abuse offenses; and
4. Second offenses, unless the Respondent can demonstrate that he or she has been fully rehabilitated.

## Recommended Action by Violation

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The Business and Professions Code Section 1900, and general provision sections of the Business and Professions Code specify the offenses for which the Committee may take disciplinary action. Below are the code sections with the recommended disciplinary actions listed by the degree of the offense.

When filing an Accusation, the Office of the Attorney General may also cite additional related statutes and regulations.

\*Note: Under conditions of probation you will find the applicable numbered conditions included in a decision and order.

## Probationary Terms and Conditions

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As part of the Committee's mission to protect the consumer, any disciplinary order in which probation is imposed should include conditions that ensure consumer protection.

For purposes of implementation of these conditions of probation, any reference to the Committee also means staff working for the Dental Hygiene Committee of California.

### **Probationary Term**

The Committee generally recommends a minimum probation term of 3 years. The term may be increased depending upon the severity of the violation(s).

### **Probationary Conditions**

Conditions of probation are divided into 2 categories:

1. **Standard** conditions that are included in all probation orders; and
2. **Additional** conditions which are applicable to the nature of the violation(s).

# Model Language for Probation Orders

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When a stipulated settlement or proposed decision contains probationary terms and conditions, the following language shall be included:

- **Licensees:** Registered Dental Hygienist (RDH), Registered Dental Hygienist in Alternative Practice (RDHAP), Registered Dental Hygienist in Extended Functions (RDHEF) license no. \_\_\_\_\_ issued to Respondent \_\_\_\_\_ is hereby revoked; however, the revocation is stayed and Respondent's license is placed on probation for \_\_\_\_\_ years on the following terms and conditions.
- **Applicants:** The application of Respondent \_\_\_\_\_ for licensure is hereby granted; however, the license shall be immediately revoked, the order of revocation stayed, and Respondent's license placed on probation for a period of \_\_\_\_\_ years on the following conditions:
- **Reinstatements:** The petition of \_\_\_\_\_ for reinstatement of the RDH, RDHAP, RDHEF license is hereby GRANTED, as follows.

RDH, RDHAP, RDHEF number \_\_\_\_\_ is reinstated. The license will be immediately revoked; however, the revocation is stayed for \_\_\_\_\_ years on the following terms and conditions:

In cases in which a petitioner for reinstatement has not practiced dental hygiene for an extended amount of time, he or she must retake the licensing exam before reinstatement. This information must be provided to the Administrative Law Judge so that the following can be included in the proposed decision the condition (number 13): "Upon successful completion of the licensure examination, a license shall be issued to Respondent."

**NOTE:** If cost recovery was ordered in the revocation or surrender of a license and the cost recovery has not been paid in full by Petitioner, a probation condition requiring payment of original cost recovery on a payment plan shall be included in the decision.

# **List of Probation Conditions**

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## **STANDARD PROBATION CONDITIONS**

Introductory Language and Conditions 1- 15 are required as follows:

- |  |                                      |
|--|--------------------------------------|
| 1) Severability Clause                                 | 10) Probation Monitoring Costs       |
| 2) Obey All Laws                                       | 11) Violation of Probation           |
| 3) Quarterly Reports                                   | 12) License Surrender                |
| 4) Probation Program                                   | 13) Completion of Probation          |
| 5) Interview with the Committee                        | 14) Law and Ethics Supplemental Exam |
| 6) Changes of Name, Address of Record<br>or Employment | 15) Continuing Education Course(s)   |
| 7) Tolling Provisions                                  |                                      |
| 8) Notification of Employer                            |                                      |
| 9) Cost Recovery (Does not apply to<br>Applicants)     |                                      |

## **ADDITIONAL PROBATION CONDITIONS**

In addition to the standard conditions (1-15), additional conditions (16-29) are required if the offense involves one of the following: sexual misconduct, alcohol/drug abuse, mental/physical disabilities, fraudulent conduct, or lack of knowledge or skills. Any of these additional conditions may be included if relevant to the violation:

- |                                    |                                     |
|------------------------------------|-------------------------------------|
| 16) Actual Suspension              | 23) Worksite Monitor                |
| 17) Psychological Evaluation       | 24) Practice Monitor                |
| 18) Psychotherapy                  | 25) Restriction of Practice         |
| 19) Physical Examination           | 26) RDH Clinical Examination        |
| 20) Billing Monitor                | 27) Abstain from Alcohol            |
| 21) Clinical Diagnostic Evaluation | 28) Abstain from Control Substances |
| 22) Submit Biological Samples      | 29) Restitution                     |

## **Standard Probation Conditions**

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## 1. Severability Clause

Each condition of probation is a separate and distinct condition. If any condition of this Decision and Order, or any application thereof, is declared unenforceable in whole, in part, or to any extent, the remainder of this Decision and Order, and all other applications thereof, shall not be affected. Each condition of this Decision and Order shall separately be valid and enforceable to the fullest extent permitted by law.

***Rationale:*** *The severability clause is required for all decisions and orders and stipulated agreements where there are conditions of probation, to avoid the possibility of all probation conditions being invalidated upon a successful appeal.*

## 2. Obey All Laws

Respondent shall obey all federal, state, US Military and local laws and all regulations. A full and detailed account of any and all violations of law shall be reported by the Respondent to the Committee in writing within 72 hours 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.

***Rationale:*** *If there has been a violation of any law or regulation that is substantially related to the qualifications, functions, or duties of an RDH, RDHAP, and/or RDHEF, this would constitute a violation of Respondent's probation and allow the Committee to carry out the disciplinary order.*

## 3. Quarterly Reports

Respondent shall submit quarterly declarations under penalty of perjury stating whether there has been compliance with all the conditions of probation.

***Rationale:*** *By the Respondent making declarations under penalty of perjury, this assures the Committee that the Respondent is making true statements to the Committee. Receiving these reports quarterly allows the Committee to track the Respondent's compliance, and provides a process for review in determining whether or not his or her license should be restored at the completion of his or her probation.*

## 4. Probation Program

Respondent shall comply with the Committee's probation program and shall, upon notice, submit quarterly reports to the Committee's staff. Respondent shall contact enforcement staff regarding any questions specific to the probation order. Respondent shall not have any unsolicited or unapproved contact with victims or complainants associated with the case or persons serving the Committee as expert consultants.

***Rationale:*** *Comply with the probation monitoring program to ensure consumer protection and the Respondent cannot use the excuse they didn't understand. In addition, this protects the victims; complainants and witnesses from harassment by the Respondent.*

## **5. Interview with the Committee**

Respondent shall appear in person for interviews with the Committee upon request at various intervals and with reasonable notice. In addition, Respondent shall participate in telephonic interviews upon request by the Committee.

***Rationale:*** *This condition allows the Committee to schedule in-person interviews to monitor Respondent's compliance with the probation order to ensure public protection. In addition, Respondent shall participate in telephone interviews upon the request of the Committee.*

## **6. Changes of Name, Address of Record or Employment**

Respondent shall notify the Committee in writing of any and all changes of physical address, address of record, e-mail, or employment including location and address within 30 days of such change. Respondent shall notify Committee of a legal name change within 10 days of such change.

***Rationale:*** *This condition allows the Committee to be informed of Respondent's current name, address of record, employment information, including his or her business address, phone number, and employer (if applicable) in the event the Committee needs to locate the Respondent or communicate with his or her employer.*

## **7. Tolling Provisions**

In the event Respondent should leave California to practice outside the state, Respondent must provide written notification to the Committee of the dates of departure and anticipated return to the state. Respondent's probation is tolled, if and when he or she ceases practicing in California. Period of practice outside of California will not apply to the reduction of the probationary period.

Respondent shall provide a list of all states, United States territories, and elsewhere in the world where he or she has ever been licensed as a dental hygienist or held any health-care related professional license or certificate. Respondent shall further provide information regarding the status of each license and certificate and any changes in the license or certificate status during the term of probation. Respondent shall inform the Committee if he or she applies for or obtains a license outside of California during the term of probation.

For purposes of this condition, non-practice due to Committee ordered suspension or in compliance with any other condition of probation, shall be considered a period of non-

practice and the time period will be tolled.

***Rationale:*** Ensures that Respondent may not complete probation without being fully monitored for his or her period of probation in California. This further ensures that the Committee is aware of all licensure outside of California as an RDH, RDHAP, or RDHEF or in any health care related capacity.

## 8. Notification to Employer

If Respondent is currently employed, in the process of applying for employment, or contracted to provide services as a dental hygienist, he or she shall provide a copy of the Committee's Decision to his or her employer, supervisor or contractor no later than the effective date of the Committee's Decision. Respondent shall notify any future employers, supervisors or contractors of his or her probationary status with the Committee prior to accepting such employment. The Respondent shall provide to the Committee the names, physical addresses, and telephone numbers of all employers, supervisors and contractors.

Respondent shall complete the required consent and sign an agreement with the employer and supervisor, or contractor, and the Committee to allow the Committee to communicate with the employer and supervisor or contractor.

Respondent shall cause each employer and supervisor or contractor to submit quarterly written declarations to the Committee. These declarations shall include a performance evaluation.

Respondent shall notify the Committee, in writing, of any change in his or her employment status, within 10 days of such change.

***Rationale:*** Respondent's license being placed on probation shows the Committee that his or her conduct is in need of rehabilitation, subsequently, Respondent's deficiencies should be noted to the employer as to protect the health and welfare of the public.

## 9. Cost Recovery

Respondent shall pay to the Committee its costs of investigation and enforcement in the amount of \$\_\_\_\_\_. Respondent shall be permitted to pay these costs in a payment plan approved by the Committee, with payments to be completed no later than 6 months prior to the end of the probationary term.

***Rationale:*** The Committee incurs costs associated with the investigation and disciplinary process; this condition requires the Respondent to reimburse the Committee for those expenditures.

## 10. Probation Monitoring Costs



Respondent shall pay the costs associated with probation monitoring each and every year of probation, as designated by the Committee, which may be adjusted on an annual basis. Such costs shall be made payable to the Committee and mailed to the Committee. Failure to pay costs within 30 days of the due date is a violation of probation.

***Rationale:*** Periodically, the Committee incurs expenditures associated with the necessary travel to meet with Respondent in order to monitor his or her probation compliance; this condition requires the Respondent to reimburse the Committee for those costs.

## 11. Violation of Probation

If Respondent violates probation in any respect, the Committee may, after giving Respondent notice and the opportunity to be heard, revoke probation and carry out the disciplinary order that was stated. If an accusation or petition to revoke probation is filed against Respondent during probation, the Committee shall have continuing jurisdiction until the matter is final, and the period of probation shall be extended until the matter is final. No petition for modification or termination of probation shall be considered while there is an accusation or petition to revoke probation pending against Respondent.

***Rationale:*** This condition allows the Committee to carry out the disciplinary order stated in the decision when a Respondent fails to comply with any of his or her probation conditions.

## 12. License Surrender

During Respondent's term of probation, if he or she wishes to cease practice, Respondent may request in writing to surrender the license(s) to the Committee. The Committee shall evaluate the request and notify Respondent in writing whether to grant the request. Upon formal acceptance of the license surrender, Respondent's license will no longer be subject to the conditions of probation. Respondent shall return the pocket license(s) and wall certificate(s) to Committee within 10 days of the effective date of the surrender.

Surrender of Respondent's license shall be considered a disciplinary action and shall become a part of Respondent's license history with the Committee. A dental hygienist whose license has been surrendered may petition the Committee for reinstatement of his or her license no sooner than 3 years from the effective date of the surrender decision.

***Rationale:*** If Respondent feels he or she cannot follow any one of the conditions of the probation order due to a discontinuance of practice, this condition gives him or her the option to voluntarily surrender his or her license.

## 13. Completion of Probation

Upon successful completion of probation, Respondent's license will be fully restored.

***Rationale:*** When the Respondent has completed his or her term of probation by successfully fulfilling all of the conditions, he or she has demonstrated his or her ability to practice unrestricted.

#### 14. Law and Ethics Supplemental Exam

Respondent shall take and successfully complete the California Law and Ethics supplemental exam within 60 days of the effective date of the decision.

***Rationale:*** In cases of fraudulent behavior, improper record keeping, or a deficiency of knowledge or skills, this condition will help to remedy these deficiencies.

#### 15. Continued Education Course

Respondent shall take and successfully complete not less than \_\_\_\_ hours each year of probation in the following area(s) \_\_\_\_\_. Coursework must be pre-approved by the Committee or its designee. All coursework shall be taken at the graduate level at an accredited educational institution or by an approved continuing education provider. Classroom attendance is specifically required: correspondence or home study coursework shall not count toward meeting this requirement. The coursework must be in addition to any continuing education courses that may be required for license renewal.

Within 60 days of the effective date of this Decision, Respondent shall submit to the Committee or its designee for its prior approval a plan for meeting the educational requirements. All costs of the coursework shall be paid by the respondent.

***Rationale:*** In cases of fraudulent behavior, improper record keeping, or a deficiency of knowledge or skills, this condition will help to remedy these deficiencies.

## Additional Probation Conditions

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#### 16. Actual Suspension

Respondent is suspended from the practice of RDH, RDHAP, RDHEF for \_\_\_\_ days beginning with the effective date of this Decision.

***Rationale:*** Restricting Respondent's practice of dental hygiene for a limited amount of time offers an additional penalty and an opportunity for Respondent to satisfy other conditions that are primary.

#### 17. Psychological Evaluation

Within 90 days of the effective date of this Decision and on a periodic basis thereafter as may be required by the Committee, Respondent shall undergo a psychological evaluation (and psychological testing, if deemed necessary) by a Committee appointed California licensed psychologist or board certified psychiatrist. Respondent shall execute a release authorizing the evaluator to release all information to the Committee.

If the Committee concludes from the results of the evaluation that Respondent is unable to practice independently and or safely, upon notification from the Committee he or she shall immediately cease practice and shall not resume practice until notified by the Committee. Respondent shall pay all costs associated with the psychological evaluation. Failure to pay costs will be considered a violation of the probation order.

***Rationale:*** Psychological evaluations shall be utilized when an offense calls into question the judgment and/or emotional and/or mental condition of the Respondent or where there has been a history of abuse or dependency of alcohol or controlled substances. When appropriate, Respondent shall be barred from rendering dental hygiene services under the terms of probation until he or she has undergone an evaluation, the evaluator has recommended resumption of practice, and the Committee has accepted and approved the evaluation. Note: if you order psychological evaluation you must request psychotherapy.

## 18. Psychotherapy

Within 45 days of the effective date of this decision, or within 45 days of a determination that psychotherapy is required, Respondent shall submit a proposed therapist and plan of therapy to be approved by the Committee. The cost of therapy shall be borne by Respondent. The plan of therapy shall include the nature of the treatment and its proposed duration. The psychotherapist shall agree to submit quarterly reports to the Committee regarding the progress and participation of Respondent. The treatment program shall not be terminated except upon committee approval after submission of the results of the program by the psychotherapist. If there is a need for ongoing psychiatric psychological treatment, Respondent shall, within 30 days of the requirement notice, submit to the Committee for prior approval the name and qualifications of a psychiatrist licensed mental health professional of Respondent's choice. If the psychological evaluation recommends that Respondent seek treatment from a specific type of mental health professional (e.g. psychiatrist, psychologist, licensed clinical social worker or marriage and family therapist), Respondent shall undergo and continue psychotherapy until further notice from the Committee or its designee. Respondent shall have the treating psychotherapist mental health care professional submit quarterly status reports to the Committee or its designee indicating whether the Respondent is capable of practicing hygiene safely.

***Rationale:*** This condition should be imposed whenever there is evidence that the Respondent may have a psychological problem that may impact his or her being able to practice safely. If the Respondent is already in therapy this condition should be imposed to ensure that he or she continues to receive help.

## 19. Physical Examination

Within 90 days of the effective date of this Decision, Respondent shall undergo a physical examination by a California licensed physician and surgeon approved by the Committee. A physician or surgeon shall have no prior or current financial, personal, familial or business relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Committee, and shall agree to serve as Respondent's monitor. Respondent shall bear all costs of such an examination. Respondent shall comply with any treatment recommendations contained in the evaluation report submitted to the Committee by the physician and surgeon. Respondent shall ensure that the physician and surgeon provides the initial evaluation report and all written progress reports to the Committee on a quarterly basis or as otherwise determined by the Committee.

***Rationale:*** This condition permits the Committee to require the probationer to obtain appropriate treatment for physical problems/disabilities which could affect safe practice of dental hygiene. The physical examination can also be conducted to ensure that there is no physical evidence of alcohol/substance abuse.

## **20. Billing Monitor**

Within 30 days of the effective date of this Decision, Respondent shall submit to the Committee for prior approval, billing monitor(s), the name and qualifications of one or more Dental Board or Committee licensees whose license is valid and in good standing. A monitor shall have no prior or current financial, personal, familial or business relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Committee, and shall agree to serve as Respondent's monitor. Respondent shall pay all monitoring costs. The Committee shall provide the approved monitor with copies of the Committee Decision and a proposed monitoring plan. Within 15 days of receipt of the Decision and proposed monitoring plan, the monitor shall submit a signed statement that the monitor has read the Decision, fully understands the role of a monitor, and agrees or disagrees with the proposed monitoring plan. If the monitor disagrees with the proposed monitoring plan, the monitor shall submit a revised monitoring plan with the signed statement.

Within 60 days of the effective date of this Decision, and continuing throughout probation, Respondent's billing shall be monitored by the approved monitor. Respondent shall make all records available for immediate inspection and copying on the premises by the monitor at all times during business hours and shall retain the records for the entire term of probation.

The monitor(s) shall submit a quarterly written report to the Committee that includes an evaluation of Respondent's billing practices indicating whether Respondent is billing appropriately. It shall be the sole responsibility of Respondent to ensure that the monitor submits the quarterly written reports to the Committee.

If the monitor resigns or is no longer available, Respondent shall, within 5 calendar days of such resignation or unavailability, submit to the Committee, for prior approval, the name and qualifications of a replacement monitor who will be assuming that responsibility within 15 days. If Respondent fails to obtain approval of a replacement monitor within 60 days of the resignation or unavailability of the monitor, Respondent shall be suspended from the practice until a replacement monitor is approved and prepared to assume immediate monitoring responsibility. Respondent shall cease the practice of RDHAP within 3 days after being so notified by the Committee.

Failure to maintain all records, or to make all appropriate records available for immediate inspection and copying on the premises, or to comply with this condition as outlined above is a violation of probation.

***Rationale:*** Monitoring shall be utilized when Respondent's ability to appropriately bill, is at issue or as a result of questionable judgment in billing.

## **21. Clinical Diagnostic Evaluation**

Within 20 days of the effective date of the Decision and at any time upon order of the Committee, Respondent shall undergo a clinical diagnostic evaluation. A evaluator shall have no prior or current financial, personal, familial or business relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Committee, and shall agree to serve as Respondent's monitor. Respondent shall provide the evaluator with a copy of the Committee's Decision prior to the clinical diagnostic evaluation being performed.

Respondent is ordered to cease any practice of dental hygiene, 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 2 times per week. At any other time the Respondent is ordered to undergo a clinical diagnostic evaluation, he or she shall be ordered to cease practice for a minimum of 1 month pending the results of a clinical diagnostic evaluation. During such time, the Respondent shall submit to random drug testing at least 2 times per week.

Respondent shall cause the evaluator to submit to the Committee a written clinical diagnostic evaluation report within 10 days from the date the evaluation was completed, unless an extension, not to exceed 30 days, is granted to the evaluator by the Committee. Cost of such evaluation shall be paid by the Respondent. Respondent shall comply with any restrictions or recommendations made as a result of the clinical diagnostic evaluation.

Respondent's may not resume practice until the Committee determines that he or she is able to safely practice either full-time or part-time and has had at least 1 month of negative drug test results. Respondent shall comply with any restrictions or recommendations made as a result of the clinical diagnostic evaluation.

***Rationale:*** This provision should be included when a Respondent's license is placed on probation for a substance or alcohol abuse problem or where the conditions of the Uniform Standards Related to Substance Abuse apply so that the Committee has the ability to order at any time during the probation period a Respondent to undergo an evaluation to determine if he or she is currently safe to practice.

## **22. Submit Biological Samples**

Respondent shall immediately submit to random and directed biological sample testing paid for by Respondent, at the request of the Committee. The Respondent shall be subject to a minimum of 52 random tests per year within the first year of probation and at minimum of 36 random tests per year thereafter for the duration of the probationary term. If Respondent tests positive for a banned substance, Respondent shall be ordered by the Committee to immediately cease practice of dental hygiene, and may not practice unless and until notified by the Committee.

Respondent shall make daily contact as directed by the Committee to determine if he or she must submit to drug testing. Respondent shall submit his or her drug test on the same day that he or she is notified that a test is required. All alternative drug testing sites due to vacation or travel outside of California must be approved by the Committee prior to the vacation or travel.

***Rationale:*** This provision should be included when a Respondent's license is placed on probation for a substance or alcohol abuse problem or where the conditions of the Uniform Standards Related to Substance Abuse apply so that the Committee can monitor whether or not the Respondent is abstaining from the use of banned substances or alcohol.

## **23. Worksite Monitor**

Respondent shall submit the name of the proposed worksite monitor within 20 days of the effective date of the Decision. A monitor shall have no prior or current financial, personal, familial or business relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Committee, and shall agree to serve as Respondent's monitor. Respondent shall complete any required consent and sign an agreement with the worksite monitor and the Committee 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 Committee and the Respondent, the Respondent shall not resume practice until another worksite monitor is approved by the Committee.

***Rationale:*** This provision should be included when a Respondent's license is placed on probation for substance or alcohol abuse or where the conditions of the Uniform Standards Related to Substance Abuse apply so that the Committee becomes aware of potential problems a probationer may have before any patient harm occurs.

## 24. Practice Monitor

Within 30 days of the effective date of this Decision, Respondent shall submit to the Committee for prior approval, practice monitor(s), the name and qualifications of one or more Dental Board or Committee licensees whose license is valid and in good standing. A monitor shall have no prior or current financial, personal, familial or, business relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Committee, and shall agree to serve as Respondent's monitor. Respondent shall pay all monitoring costs.

The Committee shall provide the approved monitor with copies of the Committee Decision and a proposed monitoring plan. Within 15 days of receipt of the Decision and proposed monitoring plan, the monitor shall submit a signed statement that the monitor has read the Decision, fully understands the role of a monitor, and agrees or disagrees with the proposed monitoring plan. If the monitor disagrees with the proposed monitoring plan, the monitor shall submit a revised monitoring plan with the signed statement.

Within 60 days of the effective date of this Decision, and continuing throughout probation, Respondent's practice shall be monitored by the approved monitor. Respondent shall make all records available for immediate inspection and copying on the premises by the monitor at all times during business hours and shall retain the records for the entire term of probation.

The monitor(s) shall submit a quarterly written report to the Committee that includes an evaluation of Respondent's practices indicating whether Respondent is providing appropriate care to patients. It shall be the sole responsibility of Respondent to ensure that the monitor submits the quarterly written reports to the Committee.

If the monitor resigns or is no longer available, Respondent shall, within 5 calendar days of such resignation or unavailability, submit to the Committee, for prior approval, the name and qualifications of a replacement monitor who will be assuming that responsibility within 15 days. If Respondent fails to obtain approval of a replacement monitor within 60 days of the resignation or unavailability of the monitor, Respondent shall be suspended from the practice until a replacement monitor is approved and prepared to assume immediate monitoring responsibility. Respondent shall cease the practice of RDHAP within 3 days after being so notified by the Committee. Failure to maintain all records, or to make all appropriate records available for immediate inspection and copying on the premises, or to comply with this condition as outlined above is a violation of probation.

***Rationale:*** Monitoring shall be utilized when Respondent's ability to provide appropriate care to patients is at issue, or as a result of deficient care being provided to patients.

## 25. Restriction of Practice

During probation Respondent is prohibited from providing dental hygiene services to patients who are (insert restriction). Within 30 days from the effective date of the decision, Respondent shall submit to the Committee, for prior approval, a plan to implement this restriction. Respondent shall submit proof satisfactory to the Committee of compliance with this term of probation.

***Rationale:*** In cases wherein some factor of the patient population at large (e.g. age, gender) may put a patient at risk if treatment by the Respondent, this condition should be utilized. Additional language can be added for clarification.

## 26. RDH Clinical Examination

Respondent shall cease practice until he or she successfully passes the Dental Hygiene Clinical Licensing Exam or Western Regional Examination Board (WREB). Respondent shall pay the established examination fees. Failure to pass the exam within 2 years of the effective date of the Decision shall be a violation of probation and be sufficient cause for revoking probation and imposing an order of revocation.

***Rationale:*** In cases involving practice deficiencies, it may be appropriate to require the Respondent to take and pass the clinical hygiene examination or equivalent during the course of the probation period. In some instances, it may be appropriate for Respondent to be ordered to cease practice until the examination is passed (condition precedent).

## 27. Abstain from Alcohol

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

***Rationale:*** This provision should be included when a Respondent has an alcohol problem or where the conditions of the Uniform Standards Related to Substance Abuse apply so that the Committee can monitor whether the Respondent is in violation of probation.

## 28. 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 Section 4022 of the Business and Professions Code, except when lawfully prescribed by a licensed practitioner for a bona fide illness.

***Rationale:*** This provision should be included when a Respondent has a substance abuse problem or where the conditions of the Uniform Standards Related to Substance Abuse apply so that the Committee can monitor whether the Respondent is in violation of probation.

## 29. Restitution

Respondent shall pay restitution to Respondent's patient(s) (specify) or the payer(s) of services (specify), in the amount of \$ \_\_\_\_\_. Respondent shall be permitted to pay these costs in a payment plan approved by the Committee, with payment to be completed no later than 6 months prior to the end of probation.

***Rationale:*** Respondent should not be permitted to financially benefit from violation of the



*law Respondent should be required to make restitution. This condition should be imposed when Respondent has engaged in fraudulent behavior, including fraudulent billing or improper record keeping, or a deficiency of knowledge or skill resulting in harm to a patient.*

## **Accusations and Decisions**

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To provide a foundation for consistency and clarity in each disciplinary action, the Committee asks that the below guidelines be followed.

### **ACCUSATIONS**

The Committee has the authority, pursuant to Section 125.3 of the Business and Professions Code, to recover costs of investigation and prosecution of its cases. Further the Committee has the authority, pursuant to Section 1951(d) of the Business and Professions Code, to order restitution in cases. The Committee requests that this fact be included in the pleading and made part of the Accusation.

### **STIPULATED SETTLEMENTS & PROPOSED DECISIONS**

The Committee will consider agreeing to stipulated settlements to promote consumer protection. All stipulations must be accompanied by a memo from the Deputy Attorney General addressed to Committee members explaining the background of the case, defining the allegations, mitigating and aggravating circumstances, admissions and proposed penalty along with a recommendation.

**Proposed Decisions and Stipulation should include, at a minimum, the following:**

1. Names and addresses of the Respondent;
2. Specific code section(s) violated with the definition of the code section(s) in the Determination of Issues;
3. Clear description of the acts or omissions that caused the violation to occur;
4. Explanation of mitigating and aggravating factors;
5. Explanation of discipline imposed from Committee's Disciplinary Guidelines;
6. Detailed explanation if Committee's guidelines not imposed.

# **Recommended Language for Cost Recovery for Revocations and Surrenders**

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When the Decision and Order results in revocation or surrender of the license, cost recovery should be included as follows:

“If and when Respondent’s license is reinstated, he or she shall pay to the Committee costs associated with its investigation and enforcement pursuant to Business and Professions Code Section 125.3 in the amount of \$\_\_\_\_\_. Respondent shall be permitted to pay these costs in a payment plan approved by the Committee. Nothing in this provision shall be construed to prohibit the Committee from reducing the amount of cost recovery upon reinstatement of the license.”

## **Denial of Licensure**

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Pursuant to Business and Professions Code 480, the Committee has authority to protect the public in denying licensure to any applicant whose misconduct or criminal history is substantially related to the qualifications, functions, or duties of a dental hygienist.

The Committee may deny licensure on the basis of:

- Conviction of a crime substantially related to the practice of dental hygiene;
- Any act involving dishonesty, fraud, or deceit with intent to substantially benefit self or another or to substantially injure another;
- Any act which is grounds for revocation of a license;
- Making a false statement on the application

Any person, whose application for a license has been denied by the Committee, may reapply to the Committee for a license after a period of 1 year has elapsed from the date of the denial.

## **Demonstrations of Rehabilitation**

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- In evaluating the rehabilitation of an applicant or licensee, the Committee considers the following:
    1. The nature and severity of the crime(s) under consideration;
    2. Evidence of any acts committed subsequent to the crime(s) under consideration as grounds for disciplinary action or denial of license;
    3. The time that has elapsed since the commission of the crime(s);
    4. The extent to which the applicant or licensee has complied with any terms of probation or any other sanctions lawfully imposed against the applicant or licensee;
    5. Evidence, if any, of rehabilitation by the applicant or licensee demonstrating that Respondent has gained an appreciation of and taken responsibility for the gravity of the misconduct and remorse for the harm caused, shown by a course of conduct that convinces and assures the Committee that the public would be safe if Respondent is permitted to be licensed to practice dental hygiene.
  
  - The following is a list of items the Committee will consider in determining whether or not the applicant or licensee has been rehabilitated:
    1. Copies of court documents pertinent to conviction, including documents specifying conviction and sanctions, and proof of completion of sanction;
    2. Letter from applicant or licensee describing underlying circumstances of arrest and conviction record as well as any rehabilitation efforts or changes in life since that time to prevent future problems;
    3. Letters of reference from professors or colleagues within the field of dental hygiene;
    4. Letters of reference from past and/or current employers;
    5. Letters from recognized recovery programs attesting to current sobriety and length of time of sobriety if there has been a history of alcohol or drug abuse;
    6. A current mental status examination by a clinical psychologist or psychiatrist approved by the Committee. The evaluation should address the likelihood of similar acts or convictions in the future, and should speak to the suitability of the dental hygiene profession for the applicant;
    7. Letters of reference from other knowledgeable professionals, such as probation or parole officers;
    8. Copy of certificate of rehabilitation or evidence of expungement proceedings;
    9. Evidence of compliance with and completion of terms of probation, parole, restitution, or any other sanctions.

## **Evidence of Mitigation**

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The Respondent is permitted to present mitigating circumstances at a hearing. The same opportunity is provided in the settlement process.

The following documents are examples of appropriate evidence the Respondent may submit to demonstrate his or her rehabilitative efforts and competency in dental hygiene:

1. Recent, dated letters from counselors regarding Respondent's participation in a rehabilitation or recovery program, where appropriate. These should include a description of the program, the number of sessions the Respondent has attended, the counselor's diagnosis of Respondent's condition and current state of rehabilitation (or improvement), the counselor's basis for determining improvement, and the credentials of the counselor;
2. Recent letters describing Respondent's participation in support groups, e.g., Alcoholics Anonymous, Narcotics Anonymous, etc., where appropriate, and sobriety date;
3. Recent, dated laboratory analyses or drug screen reports, where appropriate;
4. Recent, dated physical examination or assessment report by a licensed physician, nurse practitioner, or physician assistant approved by the Committee;
5. Certificates or transcripts of courses related to dental hygiene which Respondent may have completed since the date of the violation.

## **Petition for Penalty Relief and Reinstatements**

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Pursuant to Business and Professions Code Section 1957 (a), an individual whose license has been revoked, suspended, or surrendered, or whose license has been placed on probation must wait a specified minimum amount of time before petitioning the Committee for penalty relief or reinstatement.

- A person with a revoked or surrendered license must wait at least 3 years from the effective date of his or her Decision to petition for reinstatement;
- A person with a term of probation of 3 years or more must wait at least 2 years from the effective date of his or her Decision to petition for early termination;
- A person with whose license is placed on probation must wait at least 2 years from the effective date of his or her Decision to petition for modification of a condition;
- A person with a term of probation of less than 3 years must wait at least 1 year from the effective date of his or her Decision to petition for early termination.
- A person who has been revoked is required to submit electronic fingerprints as part of reinstatement petition for penalty relief.

## **PETITION HEARINGS**

The primary concerns of the Committee at reinstatement or penalty relief hearings are that the evidence presented by the Petitioner that demonstrates his or her rehabilitation to ensure consumer protection.

The Committee will consider the following criteria:

1. 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. Whether the licensee has complied with any terms of parole, probation, restitution or any other sanctions lawfully imposed against such person;
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 Petitioner demonstrating that Petitioner has gained an appreciation of and taken responsibility for the gravity of the misconduct and remorse for the harm caused, shown by a course of conduct that convinces and assures the Committee that the public would be safe if Respondent is permitted to be licensed to practice dental hygiene.

The Petition Decision should include a summary of the offense and the specific codes violated which resulted in the revocation, surrender or probation of the license.

The Committee requires that comprehensive information be elicited from the Petitioner regarding his/her rehabilitation. The Petitioner should provide details that include:

- A. Continuing education pertaining to the offense and its effect on the practice of dental hygiene;
- B. Specifics of rehabilitative efforts and results which should include programs, psychotherapy, medical treatment, etc., and the duration of such efforts;
- C. If applicable, copies of court documents pertinent to conviction, including documents specifying conviction and sanctions, and proof of completion of sanctions;
- D. If applicable, copy of Certificate of Rehabilitation or evidence of expungement proceedings;
- E. If applicable, evidence of compliance with and completion of terms of probation, parole, restitution, or any other sanctions;
- F. A culpability or non-culpability statement.

If the Committee should deny a request for reinstatement of licensure or penalty relief, the Committee requests that the ALJ provide technical assistance in the formulation of language clearly setting forth the reasons for denial. Such language would include methodologies or approaches which would demonstrate rehabilitation. If a petitioner fails to appear for his or her scheduled reinstatement or penalty relief hearing, such action shall result in a default decision to deny reinstatement of the license or reduction of penalty.

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## Applicable Dental Hygiene Licensure Statutes

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### Conviction of a Crime

#### **Section 1950 (a)**

#### **Conviction of a Crime.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed with 3–5 years probation depending on nature and severity of crime.*

1. *Standard Conditions (1-15)*
2. *Actual Suspension (16)*

*For appropriate cases the following additional conditions shall be imposed:*

3. *Billing Monitor (20)*
4. *Worksite Monitor (23)*
5. *Practice Monitor (24)*
6. *Restriction of Practice (25)*
7. *Restitution (29)*

### Unprofessional Conduct

#### **Section 1950.5 (a)**

#### **Obtaining of Any Fee by Fraud or Misrepresentation.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed with 3-5 years probation.*

1. *Standard Conditions (1-15)*
2. *Billing Monitor (20)*
3. *Worksite Monitor (23)*
4. *Restitution (29)*



- Section 1950.5 (b) Aiding or Abetting of Any Unlicensed Person to Practice Dentistry.**  
Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*  
1. *Standard Conditions (1-15)*  
2. *Worksite Monitor (23)*  
3. *Practice Monitor (24 )*  
4. *Restitution (29)*
- Section 1950.5 (c) Aiding or Abetting of Any licensed Person to Practice Dentistry Unlawfully.**  
Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*  
1. *Standard Conditions (1-15)*  
2. *Worksite Monitor (23)*  
3. *Practice Monitor (24)*  
4. *Restitution (29)*
- Section 1950.5 (d) Sexual Abuse, Sexual Misconduct or Relations with a Patient.**  
Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation*
- Section 1950.5 (e) Use of Any False, Assumed or Fictitious Name Other Than Licensed to Practice.**  
Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed 3–5 years probation.*  
1. *Standard Conditions (1-15)*  
2. *Billing Monitor (20)*  
3. *Practice Monitor (24)*
- Section 1950.5 (f) Accepting or Receiving a Commission.**  
Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed 3 – 5 years probation.*  
1. *Standard Conditions (1- 15)*  
2. *Billing Monitor (20)*  
3. *Restitution (29)*
- Section 1950.5 (g) False or Misleading Advertising.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1-15)*
2. *Billing Monitor (20)*
3. *Restitution (29)*

**Section 1950.5 (h)**

**Advertising Superiority.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1- 15)*
2. *Restitution (29)*

**Section 1950.5 (i)**

**Employing or Using Solicitors.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1- 15)*
2. *Billing Monitor (20)*
3. *Restitution (29)*

**Section 1950.5 (j)**

**Advertising in Violation of Section 651.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1- 15)*
2. *Restitution (29)*

**Section 1950.5 (k)**

**Advertising to Perform Painless Service.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1- 15)*
2. *Restitution (29)*

**Section 1950.5 (l)**

**Violation of Any Provisions of This Division.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard terms (1–15)*
2. *Any additional probation conditions warranted by nature and severity of action or conduct.*

**Section 1950.5 (m)                      Permitting of Any Person to Operate Dental Radiographic Equipment Who Has Not Met The Requirements of Section 1656.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1- 15)*
2. *Worksite Monitor (23)*
3. *Practice Monitor (24)*

**Section 1950.5 (n)                      Excessive Administration of Drugs or Treatment.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard terms (1–15)*
2. *Restriction of Practice (25)*
3. *Clinical Diagnostic Evaluation(21)*
4. *Worksite Monitor (23)*
5. *Practice Monitor (24)*

**Section 1950.5 (o)                      Threats or Harassment Against an Employee or Patient.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation.*

1. *Standard Conditions (1- 15)*
2. *Psychological Evaluation (17)*
3. *Psychotherapy (18)*
4. *Worksite Monitor (23)*
5. *Practice Monitor (24)*

**Section 1950.5 (p)                      Suspension or Revocation of a License Issued by Another Agency or State That Would be Grounds in This State.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3-5 years probation depending on nature and severity of violation.*

1. *Standard Conditions (1-15)*
2. *Any additional probation conditions warranted by nature and severity of action or conduct.*

**Section 1950.5 (q)                      Alteration of Patient Record with Intent to Deceive.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed 3–5 years probation depending on nature and severity of violation.*

1. *Standard Conditions (1-14)*
2. *Billing Monitor (20)*
3. *Worksite Monitor (23)*
4. *Practice Monitor (24)*

**Section 1950.5 (r)**

**Unsafe or Unsanitary Office Conditions.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed 3 years probation.*

1. *Standard Conditions (1-15)*
2. *Worksite Monitor (23)*
3. *Practice Monitor (24)*

**Section 1950.5 (s)**

**Abandonment of Patient.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard terms (1–14)*
2. *Actual Suspension (15)*
3. *Restriction of Practice(23)*

**Section 1950.5 (t)**

**Willful Misrepresentation of Facts Relating to Discipline to Patients.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard Conditions (1-14)*
2. *Worksite Monitor (23)*
3. *Practice Monitor (24)*

**Section 1950.5 (u)**

**Securing a License by Fraud or Deceit.**

Maximum Penalty: *Revocation*  
Minimum Penalty: *Revocation stayed with 3 years probation*

1. *Standard terms (1–14)*
2. *Actual Suspension (15)*
3. *Restriction of Practice(23)*

**Section 1950.5 (v)**

**Any Action or Conduct That Would Have Warranted the Denial**

**of a License.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation.*

1. *Standard Conditions (1-14)*
2. *Any additional probation conditions warranted by nature and severity of action or conduct.*

**Section 1950.5 (w)**

**Aiding or Abetting Licensee to Practice in a Negligent Manner.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation.*

1. *Standard Conditions (1-14)*
2. *Any additional probation conditions warranted by nature and severity of action or conduct.*

**Section 1950.5 (x)(y)**

**Failure to Report the Death of a Patient to Committee.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation.*

1. *Standard Conditions (1-14)*
2. *Any additional probation condition warranted by nature and severity of action or conduct.*

**Section 1952(a)**

**Obtain or Possess Any Controlled Substance.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation  
depending on nature and severity of violation.*

1. *Standard Conditions (1-14)*
2. *Psychological Evaluation (17)*
3. *Psychotherapy (18)*
4. *Submit to Biological Samples Testing (22)*
5. *Worksite Monitor (23)*
6. *Practice Monitor (24)*
7. *Abstain from Alcohol (26)*
8. *Abstain from Control Substance (27 )*

**Section 1952 (b)**

**Use of a Controlled Substance.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation  
depending on nature and severity of violation.*

1. *Standard Conditions (1-15)*
2. *Psychological Evaluation (17)*
3. *Psychotherapy (18)*
4. *Physical Examination (19)*
5. *Submit to Biological Samples Testing (22)*
6. *Worksite Monitor (23)*
7. *Practice Monitor (24)*
8. *Abstain from Alcohol (25)*
9. *Abstain from Controlled Substances (27)*

## **Section 1952 (c)**

### **Conviction Involving Controlled Substance.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation depending on nature and severity of violation.*

1. *Standard Conditions (1- 15)*
2. *Psychological Evaluation (17)*
3. *Psychotherapy (18)*
4. *Physical Examination (19)*  
*Submit to Biological sample testing (22)*
5. *Worksite Monitor (23 )*
6. *Practice Monitor (24)*
7. *Abstain from Alcohol (26)*
8. *Abstain from Controlled Substance (27)*

## **Section 1953 (b)**

### **Failure to Identify Yourself In Patient Record (Repeated Acts).**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation depending on nature and severity of violation.*

1. *Standard Conditions (1-15)*
2. *Any additional probation conditions warranted by nature and severity of action or conduct.*

## **Section 1956**

### **Negligence/Gross Negligence.**

Maximum Penalty: *Revocation*

Minimum Penalty: *Revocation stayed 3–5 years probation depending on nature and severity of violation.*

1. *Standard Conditions (1-14)*
2. *Actual Suspension (15)*
3. *Billing Monitor (if appropriate) (20)*
4. *Clinical Diagnostic Evaluation ( 21)*
5. *Worksite Monitor (23)*
6. *Practice Monitor (24)*

# General Business and Professions Code Provisions

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- Section 125      Misdemeanor Offenses by Licensees.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-15)*
  2. *Actual Suspension (16)*
  3. *Restitution (29)*
  4. *Any additional probation conditions warranted by nature and severity of action or conduct.*
- Section 125.6      Refusal to Treat Patient.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-15)*
  2. *Worksite Monitor (23)*
  3. *Practice Monitor (24)*
- Section 125.9      Failure to Comply with Citation.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-15)*
  2. *Compliance with citation, if applicable*
  3. *Any additional probation conditions warranted by nature and severity of action or conduct.*
- Section 480      Denial of a License.**
- Maximum Penalty:      *Denial of license*
  - Minimum Penalty:      *Revocation stayed with 3–5 years probation depending on nature and severity of violation.*
1. *Standard Conditions (1-15)*
  2. *Any additional probation conditions warranted by nature and severity of action or conduct.*
- Section 496      Subversion of Licensing Examinations.**
- Maximum Penalty:      *Denial of license or Revocation*
  - Minimum Penalty:      *Revocation stayed with 3–5 years probation depending on nature and severity of violation.*
1. *Standard Conditions (1-15)*
  2. *RDH Clinical Examination (26)*

- Section 498      Securing License by Fraud, Deceit, or Misrepresentation.**
- Maximum Penalty:      *Denial of license, or Revocation*
  - Minimum Penalty:      *Revocation stayed with 3–5 years probation depending on nature and severity of violation.*
1. *Standard Conditions (1-15)*
  2. *RDH Clinical Examination (26)*
- Section 650      Accepting or Receiving Rebates.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-15)*
  2. *Restitution (29)*
- Section 651      False, Misleading or Deceptive Public Communications.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-14)*
  2. *Restitution (where appropriate) (29).*
- Section 654.2      Charges, Billings, Solicitations or Referrals without Disclosure of Beneficial Interest Prohibited.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 3 years probation.*
1. *Standard Conditions (1-15)*
  2. *Billing Monitor (20)*
- Section 726      Commission of Act of Sexual Abuse or Misconduct with Patient.**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation*
- Section 810      Insurance Fraud**
- Maximum Penalty:      *Revocation*
  - Minimum Penalty:      *Revocation stayed with 5 years probation.*
1. *Standard Conditions (1-15)*
  2. *Actual Suspension (16)*
  3. *Billing Monitor (20)*
  4. *Worksite Monitor (23)*
  5. *Practice Monitor (24)*
  6. *Restitution (where appropriate) (29)*



## Section 822

### Psychological or Physical Illness.

- Maximum Penalty: *Revocation or Suspension*  
Minimum Penalty: *Revocation stayed with 3–5 years probation  
depending on nature and severity of violation.*
- 1. *Standard Conditions (1-15)*
- 2. *Actual Suspension (16)*
- 3. *Psychological Evaluation (17)*
- 4. *Psychotherapy (18)*
- 5. *Physical Examination (19)*
- 6. *Any additional probation conditions warranted by nature and severity  
of action or conduct.*



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee**

**Agenda Item ENF 8:  
Discussion, Possible Action, and Recommendation  
to the Full Board on DHBC Diversion Program**



## MEMORANDUM

<b>DATE</b>	April 12, 2019
<b>TO</b>	Enforcement Subcommittee
<b>FROM</b>	Anthony Lum, Executive Officer
<b>SUBJECT</b>	ENF 08.10 DHBC Diversion Program

### Background:

Pursuant to Business and Professions Code section 1966(a), it is the Legislature's intent for the Dental Hygiene Board of California (DHBC) to seek ways and means to identify and rehabilitate licensees whose competency may be impaired due to abuse of dangerous drugs or alcohol, so that afflicted licensees may be treated and returned to the practice of dental hygiene in a manner that will not endanger the public's health and safety. The DHBC will also establish a diversion program as a voluntary alternative approach to traditional disciplinary actions.

The DHBC only had a couple of participants in the diversion program through 2015 and once those participants graduated from the program, it was discovered that the DHBC was subsidizing a substantial amount of the cost for the program. As such, it was determined that the DHBC could not afford to do so with its limited budget and proceeded with placing a licensee on probation rather than diversion where they could be monitored and tested according to their terms of probation.

As suggested from the past two meetings, Board members requested that the diversion issue be placed on the agenda for a future meeting.

### Staff Recommendations:

Staff requests this agenda item to be tabled until the next meeting for two reasons:

1. The diversion contract is expiring and is in the Request for Proposal (RFP) process for a new contracted diversion vendor. The DHBC portion of the contract is being revised to include language to have the participant be responsible for the full cost of participation in the program rather than being subsidized by the DHBC pursuant to B&PC section 1966.4.
2. This will allow time to determine whether Maximus, the current contracted diversion vendor, or a new vendor will assume the diversion contract and request that whomever the contracted vendor is to provide a presentation to the Board for their information and questions about the program.

#### Pros:

Will allow time for the contract RFP to be completed and a new contracted diversion vendor to become established and provide the information the Board members seek in a presentation.

#### Cons:

None.



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 9:**

**Future Agenda Items**



**Friday, April 12, 2019**

**Dental Hygiene Board of California**

**Enforcement Subcommittee Meeting**

**Agenda Item ENF 10:**

**Adjournment of the Enforcement Subcommittee Meeting**