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**To:** Board Members

**Date:** April 20, 2018

**From:** Mark Morodomi, Chair  
Consumer Protection Committee

**Telephone:** (916) 575-7170

**Subject:** Agenda Item 8 – Update, Discussion and Possible Action Regarding Board Committee Reports

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## A. Consumer Protection Committee (CPC)

Audio: [March 23, 2018](#)

### Requested Actions:

1. Review, Discuss and Approve (if possible) the Proposed Disciplinary Guidelines
2. Discuss and Determine if the Board's Inspection Program should be complaint driven or percentage based.

### Disciplinary Guidelines

As previously reported, the CPC was tasked with implementing the Board's Strategic Plan Objective 4.8:

Analyze the [2012 Disciplinary Guidelines](#) for optometrists and revise where necessary, to promote consistency and fairness with enforcement decisions and enhance consumer protection.

The CPC selected two members (Mark Morodomi and Dr. Debra McIntyre) to assist in reviewing the current guidelines and develop recommendations for CPC consideration. The CPC discussed the recommendations on March 23, 2018 and propose several amendments in the attached draft focusing on the following areas:

- Required Suspension

Whenever Suspension is ordered under "Required" or "If Warranted," current language requires a 30-day minimum suspension period.

Draft changes delete the 30-day minimum requirement to allow more discretion for the Board to order shorter suspension periods.

**The CPC requests the Board further discuss the minimum suspension period to determine if there are some violations that should still require a 30-day minimum suspension. Specifically, in cases involving excessive prescribing, gross negligence, fraud, fraudulently altering medical records, etc.**

- Failing Continuing Education Audits

To renew an optometrist license, licensees self-certify they met the continuing education requirements. Those licensees are then subject to random Board audits to ensure compliance. In disciplinary cases involving failing to complete continuing education requirements, the Board typically charges the violations of BPC § 3106, 3110(a), 3110 (e).

According to the current disciplinary guidelines, the required terms would be the following:

1-16 Standard Conditions  
24. Remedial Education  
32. Audit Required  
39. Medical Record Keeping Course

However, the CPC requests the Board consider a separate section for those who fail CE audits and have more applicable required conditions, such as:

**CE Audit Failure** (B& P Code [3106](#), [3110\(a\)](#), [3110\(e\)](#))

**Maximum Discipline:** Revocation

**Minimum Discipline:** Suspension until CE Compliance verified

**Required:**

1-16 Standard Terms  
38. Continuing Education

- Technical/Non-substantive Changes

Several technical/non-substantive changes were made throughout the document to promote clarity and consistency.

- Employment Limitations

The current language prohibits the probationer's ability to work in any health care setting as a supervisor of optometrists and allows discretion for the Board to additionally restrict supervising technicians and/or unlicensed assistive personnel.

The recommended change allows probationers to supervise optometrists on a case by case basis.

- Discontinuing Treatment

Current language requires probationers to continue treatment until further notice from the Board.

Recommended language clarifies treatment can be discontinued after Board notification and upon the recommendation of the treating psychiatrist, psychologist, or other health practitioner.

- Billing Auditor Report

Current report language was copied from the worksite monitor report for those monitoring probationers due to substance abuse.

Recommended language removes the requirement for a worksite monitor to report changes in behavior and/or personal habits and the assessment of the Respondent's ability to practice safely. A billing auditor (a certified public accountant) reviewing financial records should not be responsible for this assessment.

- Prescription Records

Current language applies only to lens prescriptions.

Recommended language makes the language applicable to both lens and medication prescriptions.

- Recommended Discipline Based on Violation

Current language includes required probation terms that may not relate to the violation. For example, a licensee who was placed on probation for excessively prescribing hydrocodone is currently required to take a Medical Record Keeping course. A Board approved course (e.g., [PACE](#)) is typically two days and costs roughly \$1,300. However, the licensee may not have had any issues with record keeping.

Recommended language updates “Required” and “If Warranted” conditions to better fit the violation(s).

- Worksite Monitor for Failing to Refer

Current language lists “Worksite Monitor” under the “If Warranted” section for those on probation for failing to properly refer patients.

Draft changes moves “Worksite Monitor” to required. This condition can prove cumbersome to probationers.

**The CPC requests the Board further discuss if this condition should be required in every case involving failing to refer violations.**

- Part III Clinical Skills for Violation of Health and Safety Standards

Current language requires the standard 1-16 conditions and continuing education.

Recommended changes require every probationer pass the clinic skills portion of the national exam. However, the Board may want to determine if, based on the Clinical Exam Skills [Candidate Guide](#), this requirement should be required in every case to adequately addresses the violation.

### Inspection Program

The CPC reviewed the Board-approved [Monitoring Plan](#) (approved August 2013) as a starting point to develop inspection tools. The CPC is concerned many licensees are not aware of the current requirements and requested the Public Relations and Outreach Committee develop educational materials for licensees.

In addition, the CPC requests the Board further discuss and decide whether the new inspection program should focus on complaint driven inspections or a percentage based inspection program.

A complaint driven inspection program would not be limited to *consumer* complaints. For example, if the Board, during an investigation, determines additional inspection is necessary to determine compliance with the Optometry Practice Act, the Board could initiate an internal complaint. Thus, Board staff pro-actively initiate complaints and inspections currently.

A percentage-based program essentially sets a goal that a certain amount of locations would be inspected annually. This is often referred to as a pro-active approach implemented by some DCA programs. Available data for this costlier approach indicates very little enforcement outcomes. This may imply percentage based programs are not needed due to already existing compliance or the compliance is due to licensees knowing the percentage-based inspection program exists

### Attachment

#### 1. Draft Disciplinary Guidelines



CALIFORNIA STATE BOARD OF  
**OPTOMETRY**

**UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE  
&  
DISCIPLINARY GUIDELINES  
(DG 45, 054-20128)**

***“Protection of the Public Shall be the Highest Priority”  
Business and Professions Code, §3010.1***

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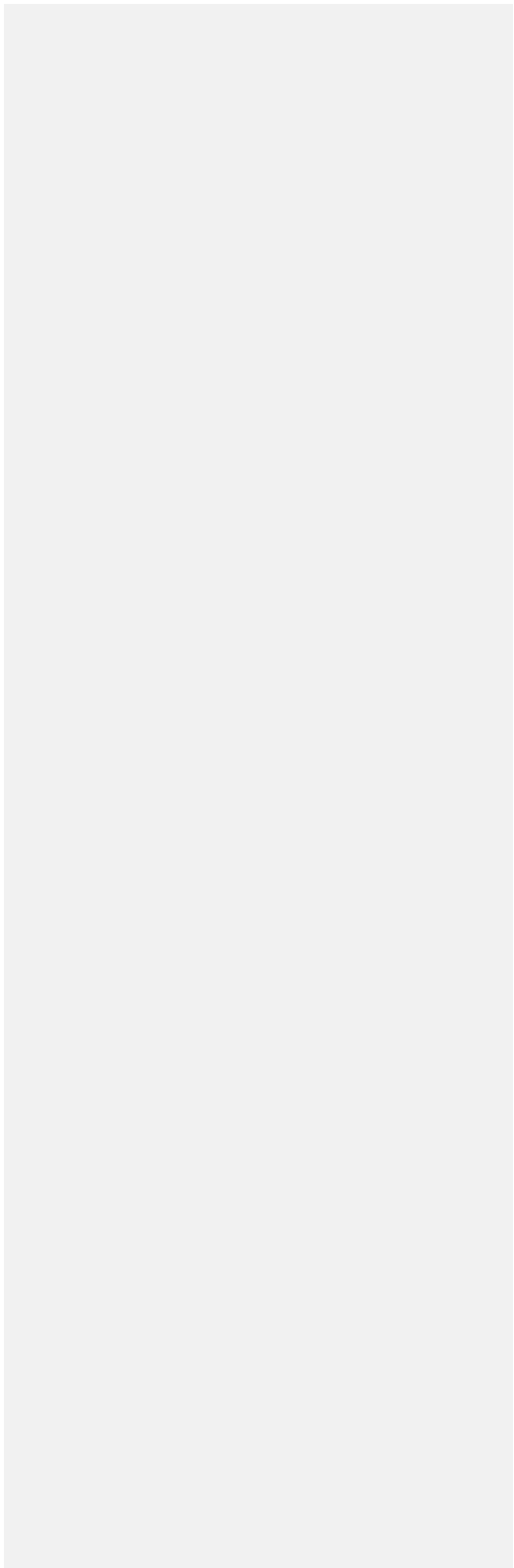
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## INTRODUCTION

The California State Board of Optometry's (hereafter Board) mission is to serve the public and optometrists by promoting and enforcing laws and regulations, which protect the health and safety of California's consumers and to ensure high quality care.

In keeping with its mandate to protect the consumer of optometric services from the unsafe, incompetent and/or negligent optometrists, the Board has adopted the following recommended guidelines for disciplinary orders and conditions of probation for violations of the Optometry Practice Act.

The Board's disciplinary guidelines were designed for use by Administrative Law Judges, attorneys from the Office of the Attorney General, licensees, Board staff and others involved in the Board's disciplinary process and are to be followed in all disciplinary actions involving the Board. The Board has the final authority over the disposition of its cases, and to complete its work, it utilizes the Office of the Attorney General and the Office of Administrative Hearings.

This manual includes factors to be considered in aggravation or mitigation, guidelines to be used by Administrative Law Judges for a violation(s) of specific statutes, and standard and specialty probationary terms and conditions.

If, at the time of hearing, the Administrative Law Judge finds that the Respondent for any reason is not capable of safe practice, the Board favors outright revocation of the license. If, however, the Respondent has demonstrated a capacity to practice optometry safely, a stayed revocation order with probation is recommended.

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

The Board recognizes that these recommended penalties and conditions of probation are merely guidelines and that aggravating or mitigating circumstances and other factors may necessitate deviation from these guidelines in particular cases.

## PUBLIC RECORD

It is the Board's policy that all letters of license denial, citations issued and final decisions will be published as a matter of public record and shall be available on the Internet, pursuant to Business and Professions Code, section [27](#).

## COST RECOVERY

The Board seeks recovery of all investigative and prosecution costs in all disciplinary cases. The costs include all charges incurred from the Office of the Attorney General, the Division of Investigation, and Board services, including, but not limited to, expert consultant opinions and services, pursuant to Business and Professions Code, section [125.3](#). The Board seeks recovery of these costs because the burden for payment of the costs of investigation and prosecution of disciplinary cases should fall upon those whose proven conduct required investigation and prosecution, not upon the profession as a whole.

### **PROBATION MONITORING PURPOSE**

The purpose of the probation monitoring program is to maintain public protection by proactively monitoring probationers to ensure terms and conditions are met. The Board will work to:

- 1) Allow for the probationer's rehabilitation if that is his/her choice;
- 2) Allow the probationer an opportunity to practice in a professional manner with restrictions and guidance from a community support system and designated probation monitor to prevent future occurrences; and
- 3) Allow for education of the individual as to the responsibilities, requirements and professionalism mandated of an optometrist.

It is the policy of the Board that if a probationer is found to be in violation of any term of probation at any time during the probation period, the Board shall immediately be notified of the violation so that disciplinary action may be considered.

### **CITATIONS**

The Board has the authority to issue citations and fines for violations of several sections of the Board of Optometry Practice Act and its regulations. Citations issued may include an order for abatement, a fine, or both. Citations are issued at the discretion of the Board. The issuance of a citation is separate from and may be in addition to any other administrative discipline, civil remedies, or criminal penalties. (California Code of Regulations section [1399.380\(h\)](#)). Any prior citation may be used in future actions as aggravating evidence.

### **STIPULATED SETTLEMENTS**

The Board will consider stipulated settlements to promote cost effectiveness and to expedite disciplinary decisions if such agreements are consistent with the Board's mandate.



## **DISCIPLINARY GUIDELINES**

### **2012 EDITION**

#### **EVIDENCE IN AGGRAVATION/MITIGATION OF DISCIPLINE**

The following are examples of aggravating and mitigating circumstances which may be considered by Administrative Law Judges in providing for discipline in their proposed decisions:

##### **EVIDENCE IN AGGRAVATION OF DISCIPLINE**

1. Patient's trust, health, safety or well-being was jeopardized.
2. Patient's or employer's trust violated (e.g., theft, embezzlement, fraud).
3. History of prior discipline.
4. Patterned behavior: Respondent has a history of one or more violations or convictions related to the current violation(s).
5. Perjury on official Board forms.
6. Violent nature of crime or act.
7. Violation of Board Probation.
8. Failure to provide a specimen for testing in violation of terms and conditions of probation.
9. Commission of any crime against a minor, or while knowingly in the presence of, or while caring for, a minor.

##### **EVIDENCE IN MITIGATION OF DISCIPLINE**

1. Recognition by Respondent of his or her wrongdoing and demonstration of corrective action to prevent recurrence.
2. Respondent was forthcoming and reported violation or conviction to the Board.
3. A substantial amount of time since the violation or conviction occurred.
4. No prior criminal or disciplinary history.

**DISCIPLINARY GUIDELINES SUMMARY FOR USE BY  
ADMINISTRATIVE LAW JUDGES**

To establish consistency in discipline for similar offenses on a statewide basis, the Board of Optometry has adopted these uniform disciplinary guidelines for particular violations. This document, designed for use by administrative law judges, attorneys, optometrists and ultimately the Board, shall be revised from time to time following public hearing by the Board and will be disseminated to interested parties upon request.

Additional copies of this document may be obtained by contacting the Board of Optometry at its offices in Sacramento, California. There may be a charge assessed sufficient to cover the cost of production and dissemination of copies. In determining the appropriate discipline, consideration should be given to any mitigating or aggravating circumstances. All decisions shall include cost recovery in accordance with Business and Professions Code section [125.3](#).

The Board recognizes that these penalties and conditions of probation are merely guidelines and that mitigating or aggravating circumstances may necessitate deviations. If there are deviations or omissions from the guidelines, the Board would request that the Administrative Law Judge hearing the matter include some statement of this in the proposed decision so that the circumstances can be better understood and evaluated by the Board upon review of the proposed decision and before its ultimate action is taken.

***These guidelines are incorporated by reference in §1575 of Division 15 of Title 16 of the California Code of Regulations.***

## **§1575. UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE AND DISCIPLINARY GUIDELINES**

### **§1575. Uniform Standards Related to Substance Abuse and Disciplinary Guidelines**

In reaching a decision on a disciplinary action under the Administrative Procedures Act (Government Code Section [11400](#) et seq.), the Board of Optometry shall comply with the "Uniform Standards Related to Substance Abuse" (Uniform Standards) and consider the "Disciplinary Guidelines" (DG-4, 5-2012) which are hereby incorporated by reference. The Disciplinary Guidelines apply to all disciplinary matters; Uniform Standards apply to a substance-abusing licensee.

- (a) Subject to subdivision (b), deviation from the Disciplinary Guidelines, including the standard terms of probation, is appropriate where the Board, in its sole discretion, determines that the facts of the particular case warrant such a deviation - for example: the presence of mitigating factors; the age of the case; evidentiary problems.
- (b) If the conduct found to be a violation involves drugs and/or alcohol, the licensee shall be presumed to be a substance-abusing licensee for purposes of Section [315](#) of the Code. If the licensee does not rebut that presumption, then the Uniform Standards for substance-abusing licensees shall apply.

Note: Authority cited: Sections [3025](#) and [3090](#), Business and Professions Code; and Sections [11400.20](#), Government Code. Reference: Sections [315](#), [315.2](#), [315.4](#), [480](#), [3090](#), [3091](#) and [3110](#), Business and Professions Code; and Sections [11400.20](#), and [11425.50\(e\)](#), Government Code.

## **UNIFORM STANDARDS FOR SUBSTANCE-ABUSING LICENSEES**

Pursuant to Business and Professions Code [§315](#), the following standards shall be adhered to in all cases in which an optometrist's license is placed on probation because the optometrist is a substance-abusing licensee. These standards are not guidelines and shall be followed in all instances, except that the Board may impose more restrictive conditions if necessary to protect the public.

### **1. CLINICAL DIAGNOSTIC EVALUATION**

If a clinical diagnostic evaluation is ordered, the following applies:

The clinical diagnostic evaluation shall be conducted by a licensed practitioner who:

- holds a valid, unrestricted license, which includes scope of practice to conduct a clinical diagnostic evaluation;
- has three (3) years experience in providing evaluations of health professionals with substance abuse disorders; and,
- is approved by the Board.

The clinical diagnostic evaluation shall be conducted in accordance with acceptable professional standards for conducting substance abuse clinical diagnostic evaluations. The clinical diagnostic evaluation report shall:

- set forth, in the evaluator's opinion, whether the licensee has a substance abuse problem;
- set forth, in the evaluator's opinion, whether the licensee is a threat to himself/herself or others; and,

- set forth, in the evaluator's opinion, recommendations for substance abuse treatment, practice restrictions, or other recommendations related to the licensee's rehabilitation and safe practice.

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

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

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

## **2. REMOVAL FROM PRACTICE PENDING CLINICAL DIAGNOSTIC EVALUATION**

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

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

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

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

## **3. BOARD COMMUNICATION WITH PROBATIONER'S EMPLOYER**

The licensee shall provide to the Board the names, physical addresses, mailing addresses, and telephone numbers of all employers and supervisors and shall give specific written consent that the licensee authorizes the Board and the employers and supervisors to communicate regarding the licensee's work status, performance, and monitoring.

## **4. DRUG TESTING STANDARDS**

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

### **Testing Frequency Schedule**

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

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

\*The minimum range of 36-104 tests identified in level II is for the second year of probation and each year thereafter.

Nothing precludes the Board from increasing the number of random tests for any reason. If the Board finds or suspects that a licensee has committed a violation of the Board's testing program or committed a Major Violation, as identified in Uniform Standard 10, the Board 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.

### **Exception to Testing Frequency Schedule**

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

In cases where the Board has evidence that a licensee has participated in a treatment or monitoring program requiring random testing, prior to being subject to testing by the Board, the Board may give consideration to that testing in altering the testing frequency schedule so that it is equivalent to this standard.

#### **II. VIOLATION(S) OUTSIDE OF EMPLOYMENT**

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

#### **III. NOT EMPLOYED IN HEALTH CARE FIELD**

The Board may reduce testing frequency to a minimum of 12 times per year for any person who is not practicing OR working in any health care field. If a reduced testing frequency schedule is established for this reason, a licensee shall notify and secure the approval of the Board. Prior to returning to any healthcare employment, the licensee shall be subject to Level I testing frequency for at least 60 days. At such time the person returns to employment, if the licensee has not previously met the standard, the licensee shall be subject to completing a full year at Level I of the testing frequency schedule, otherwise Level II testing shall be in effect.

#### **IV. TOLLING**

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

#### **V. SUBSTANCE USE DISORDER NOT DIAGNOSED**

In cases where no current substance use disorder diagnosis is made, a lesser period of monitoring and toxicology screening may be adopted by the Board, but no less than 24 times per year.

#### **OTHER DRUG STANDARDS**

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

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

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

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

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

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

Collection of specimens shall be observed.

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

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

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

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

#### **5. PARTICIPATION IN GROUP SUPPORT MEETINGS**

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

- recommendation of the clinical diagnostic evaluation pursuant to Uniform Standard #1;
- the licensee's history;
- the documented length of sobriety/time that has elapsed since substance use;
- the recommendation of the clinical evaluator;
- the scope and pattern of use;
- the licensee's treatment history; and,
- the nature, duration, and severity of substance abuse.

Group Meeting Facilitator Qualifications and Requirements:

1. The meeting facilitator must have a minimum of three (3) years experience in the treatment and rehabilitation of substance abuse, and shall be licensed or certified by the state or other nationally certified organizations.
2. The meeting facilitator must not have had a financial relationship, personal relationship, or business relationship with the licensee in the last five (5) years.

3. The group meeting facilitator shall provide to the Board a signed document showing the licensee's name, the group name, the date and location of the meeting, the licensee's attendance, and the licensee's level of participation and progress.
4. The facilitator shall report any unexcused absence within 24 hours.

#### **6. DETERMINING WHAT TREATMENT IS NECESSARY**

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

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

#### **7. WORKSITE MONITOR REQUIREMENTS**

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

1. The worksite monitor shall not have any financial, personal, or a familial relationship with the licensee, or any other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the Board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the Board; however, under no circumstances shall a licensee's worksite monitor be an employee of the licensee.
2. The worksite monitor's license shall include the scope of practice of the licensee that is being monitored or be another health care professional if no monitor with like practice is available.
3. The worksite monitor shall have an active unrestricted license, with no disciplinary action within the last five (5) years.
4. The worksite monitor shall sign an affirmation that he or she has reviewed the terms and conditions of the licensee's disciplinary order and/or contract and agrees to monitor the licensee as set forth by the Board.
5. The worksite monitor must adhere to the following required methods of monitoring the licensee:
  - a. Have face-to-face contact with the licensee in the work environment on a frequent basis as determined by the Board, at least once per week.
  - b. Interview other staff in the office regarding the licensee's behavior, if applicable.
  - c. Review the licensee's work attendance.

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

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

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

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

### **8. PROCEDURE FOR POSITIVE TESTING**

When a licensee tests positive for a banned substance:

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

Thereafter, the Board will determine whether the positive drug test is in fact evidence of prohibited use. If so, proceed to Standard #9. If not, the Board shall immediately lift the cease practice order. In determining whether the positive test is evidence of prohibited use, the Board will engage in the following, as applicable:

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

### **9-10. MAJOR/MINOR VIOLATIONS & CONSEQUENCES**

**Major violations** include, but are not limited to the following:

1. Failure to complete a Board-ordered program or evaluation;
2. Committing two or more minor violations of probation;
3. Treating a patient while under the influence of drugs or alcohol;
4. Committing any drug or alcohol offense, or any other offense that may or may not be related to drugs or alcohol, that is a violation of the Business and Professions Code or state or federal law;
5. Failure to appear or provide a sample in accordance with the "biological fluid testing" term and condition;
6. Testing positive for a banned substance;
7. 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.
8. Failure to adhere to any suspension or restriction in practice.

**Consequences** of a major violations include, but are not limited to the following:

1. Licensee will be ordered to cease practice.
  - a) the licensee must undergo a new clinical diagnostic evaluation (if applicable);
  - b) the licensee must test *negative* for a least a month of continuous drug testing before being allowed to practice.



2. Termination of a contract/agreement.
3. Referral for disciplinary action, such as suspension, revocation, or other action as determined by the Board.

**Minor violations** include, but are not limited to the following:

1. Failure to submit complete and required documentation in a timely manner;
2. Unexcused absence at required meetings;
3. Failure to contact a monitor as required;
4. Failure to submit cost recovery or monthly probation monitoring costs timely.
5. Any other violation that does not present a threat to the licensee or public.

**Consequences** of minor violations include, but are not limited to the following:

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

#### **11. PETITION FOR RETURN TO PRACTICE**

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

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

1. Sustained compliance with current recovery program;
2. The ability to practice safely as evidenced by current work site reports, evaluations, and any other information relating to the licensee's substance abuse; and
3. Negative drug screening reports for at least six (6) months, two (2) positive worksite monitor reports, and complete compliance with other terms and conditions of the program.

#### **12. PETITION FOR REINSTATEMENT**

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

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

1. Sustained compliance with the terms of the disciplinary order, if applicable;
2. Successful completion of recovery program, if required;
3. A consistent and sustained participation in activities that promote and support recovery including, but not limited to, ongoing support meetings, therapy, counseling, relapse prevention plan, and community activities;
4. Ability to practice safely; and
5. Continuous sobriety for three (3) to five (5) years.

**PROBATIONARY TERMS AND CONDITIONS****MODEL DISCIPLINARY ORDERS****Revocation-Single Cause**

Certificate No. (Ex.: 12345) issued to Respondent (Ex: John Smith. O.D.) is revoked. Cost Recovery in the amount of (Ex: 5,000) is due within 90 calendar days of the effective date of this decision or within a Board-approved payment plan.

**Revocation - Multiple Causes**

Certificate No. \_\_\_\_\_ issued to Respondent \_\_\_\_\_ is revoked pursuant to Determination of Issues (Ex: II. and III) separately and for all of them. Cost Recovery (if any) in the amount of (Ex: 5,000) is due within 90 calendar days of the effective date of this decision or within a Board-approved payment plan.

**Suspension - Single Cause**

Certificate No. \_\_\_\_ issued to Respondent \_\_\_\_\_ is suspended for a period of (Ex: 30 calendar days/one year).

**Suspension - Multiple Causes (run concurrently)**

Certificate No. \_\_\_\_\_ issued to Respondent \_\_\_\_\_ is suspended pursuant to Determination of Issues \_\_\_\_\_, separately and for all of them. All suspensions shall run concurrently.

**Suspension - Multiple Causes (run consecutively)**

Certificate No. \_\_\_\_\_ issued to Respondent \_\_\_\_\_ is suspended (Ex: 30 calendar days) pursuant to Determination of Issues. These suspensions shall run consecutively, for a total period of (Ex: 90 calendar days).

**Standard Stay Order**

However (revocation/suspension) is stayed and Respondent is placed on probation for (Ex: three) years upon the following terms and conditions:

**MODEL PROBATIONARY ORDERS**

The following introductory language is to be included in decisions that place the Respondent's license on probation.

**IT IS HEREBY ORDERED** that (INSERT APPROPRIATE LICENSE CATEGORY) Number (INSERT LICENSE NUMBER) issued to Respondent is revoked. However, the revocation is stayed and Respondent's (INSERT LICENSE CATEGORY) is placed on probation for (INSERT NUMBER OF YEARS) years on the following conditions.

In order to provide clarity and consistency in its decisions, the following language should be used in proposed decisions or stipulated agreements for applicants, and for petitioners for reinstatement who are issued a license that is placed on probation.

**Applicants who are placed on probation:**

The application of Respondent \_\_\_\_\_ for licensure is hereby granted. Upon successful completion of the licensure examination and all other licensing requirements including payment of all fees and evaluation of the application, a license shall be issued to Respondent. Said license shall immediately be revoked, the order of revocation stayed and Respondent's license placed on probation for a period of \_\_\_\_\_ years on the following conditions:

**Reinstatement of licensure with conditions of probation:**

The application of Respondent \_\_\_\_\_ for reinstatement of licensure is hereby granted. A license shall be issued to Respondent. Said license shall immediately be revoked, the order of revocation stayed and Respondent's license placed on probation for a period of \_\_\_\_\_ years on the following conditions:

**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 a petitioner, a probation condition requiring payment of the original cost recovery on a payment plan must be included in the reinstatement and decision.

**STANDARD TERMS AND CONDITIONS**

A probationary term is generally issued for a period between three (3) and five (5) years, dependent upon whether any aggravating or mitigating factors exist. Standard conditions are imposed on each and every probationer regardless of cause for discipline. For applicants, Condition 8, Cost Recovery, does not apply.

1. Obey all laws
2. Submit Quarterly Reports
3. Cooperate With Probation Monitoring Program
4. Probation Monitoring Costs
5. Function as an Optometrist
6. Notice to Employer
7. Changes of Employment or Residence
8. Cost Recovery
9. Take and Pass California Laws and Regulations Examination
10. Community Service
11. Valid License Status
12. Tolling for Out-Of-State Residence or Practice
13. License Surrender
14. Violation of Probation
15. Completion of Probation
16. Sale or Closure of an Office and/or Practice

**SEVERABILITY CLAUSE**

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

**1. OBEY ALL LAWS**

Respondent shall obey all federal, state, and local laws, governing the practice of optometry in California.

Respondent shall notify the Board in writing within 72 hours of any incident resulting in his/her arrest, or charges filed against, or a citation issued against Respondent.

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

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

## **2. QUARTERLY REPORTS**

Respondent shall file quarterly reports of compliance under penalty of perjury to the probation monitor assigned by the Board. Quarterly report forms will be provided by the Board (DG-QR1 (05/2012)). Omission or falsification in any manner of any information on these reports shall constitute a violation of probation and shall result in the filing of an accusation and/or a petition to revoke probation against Respondent's optometrist license. Respondent is responsible for contacting the Board to obtain additional forms if needed. Quarterly reports are due for each year of probation throughout the entire length of probation as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

Failure to submit complete and timely reports shall constitute a violation of probation.

## **3. COOPERATE WITH PROBATION MONITORING PROGRAM**

Respondent shall comply with the requirements of the Board's probation monitoring program, and shall, upon reasonable request, report or personally appear as directed.

Respondent shall claim all certified mail issued by the Board, respond to all notices of reasonable requests timely, and submit Reports, Identification Update reports or other reports similar in nature, as requested and directed by the Board or its representative.

Respondent is encouraged to contact the Board's probation monitoring program representative at any time he/she has a question or concern regarding his/her terms and conditions of probation.

Failure to appear for any scheduled meeting or examination, or cooperate with the requirements of the program, including timely submission of requested information, shall constitute a violation of probation and may result in the filing of an accusation and/or a petition to revoke probation against Respondent's Optometrist license.

## **4. PROBATION MONITORING COSTS**

All costs incurred for probation monitoring during the entire probation shall be paid by the Respondent. The monthly cost may be adjusted as expenses are reduced or increased. Respondent's failure to comply with all terms and conditions may also cause this amount to be increased.

All payments for costs are to be sent directly to the Board of Optometry and must be received by the date(s) specified. (Periods of tolling will not toll the probation monitoring costs incurred.)

If Respondent is unable to submit costs for any month, he/she shall be required, instead, to submit an explanation of why he/she is unable to submit the costs, and the date(s) he/she will be able to submit the costs, including payment amount(s). Supporting documentation and evidence of why the Respondent is unable to make such payment(s) must accompany this submission.

Respondent understands that failure to submit costs timely is a violation of probation and submission of evidence demonstrating financial hardship does not preclude the Board from pursuing further disciplinary action. However, Respondent understands that by providing evidence and supporting documentation of financial hardship it may delay further disciplinary action.

In addition to any other disciplinary action taken by the Board, an unrestricted license will not be issued at the end of the probationary period and the optometrist license will not be renewed, until such time as all probation monitoring costs have been paid.

#### **5. FUNCTION AS AN OPTOMETRIST**

Respondent shall function as an optometrist for a minimum of 60 hours per month for the entire term of his/her probation period.

#### **6. NOTICE TO EMPLOYER**

Respondent shall provide to the Board the names, physical addresses, mailing addresses, and telephone number of all employers and supervisors and shall give specific, written consent that the licensee authorizes the Board and the employers and supervisors to communicate regarding the licensee's work status, performance, and monitoring. Monitoring includes, but is not limited to, any violation of any probationary term and condition.

Respondent shall be required to inform his/her employer, and each subsequent employer during the probation period, of the discipline imposed by this decision by providing his/her supervisor and director and all subsequent supervisors and directors with a copy of the decision and order, and the accusation in this matter prior to the beginning of or returning to employment or within 14 calendar days from each change in a supervisor or director.

The Respondent must ensure that the Board receives written confirmation from the employer that he/she is aware of the Discipline, on forms to be provided to the Respondent (DG-Form 1 (05/2012)). The Respondent must ensure that all reports completed by the employer are submitted from the employer directly to the Board. Respondent is responsible for contacting the Board to obtain additional forms if needed.

#### **7. CHANGES OF EMPLOYMENT OR RESIDENCE**

Respondent shall notify the Board, and appointed probation monitor in writing, of any and all changes of employment, location, and address within 14 calendar days of such change. This includes but is not limited to applying for employment, termination or resignation from employment, change in employment status, and change in supervisors, administrators or directors.

Respondent shall also notify his/her probation monitor AND the Board IN WRITING of any changes of residence or mailing address within 14 calendar days. P.O. Boxes are accepted for mailing purposes; however the Respondent must also provide his/her physical residence address as well.

**8. COST RECOVERY**

Respondent shall pay to the Board a sum not to exceed the costs of the investigation and prosecution of this case. That sum shall be \$ \_\_\_\_\_ and shall be paid in full directly to the Board, in a Board-approved payment plan, within 6 months before the end of the Probation term. Cost recovery will not be tolled.

If Respondent is unable to submit costs timely, he/she shall be required instead to submit an explanation of why he/she is unable to submit these costs in part or in entirety, and the date(s) he/she will be able to submit the costs, including payment amount(s). Supporting documentation and evidence of why the Respondent is unable to make such payment(s) must accompany this submission.

Respondent understands that failure to submit costs timely is a violation of probation and submission of evidence demonstrating financial hardship does not preclude the Board from pursuing further disciplinary action. However, Respondent understands that by providing evidence and supporting documentation of financial hardship may delay further disciplinary action.

Consideration to financial hardship will not be given should Respondent violate this term and condition, unless an unexpected AND unavoidable hardship is established from the date of this order to the date payment(s) is due.

**9. TAKE AND PASS CALIFORNIA LAWS AND REGULATIONS EXAMINATION**

Within 60 calendar days of the effective date of this decision, or within some other time as prescribed in writing by the Board, Respondent shall take and pass the California Laws and Regulations Examination (CLRE). If Respondent fails this examination, Respondent must take and pass a re-examination as approved by the Board. The waiting period between repeat examinations shall be at six-month intervals until success is achieved. Respondent shall pay the established examination fees.

If Respondent fails the first examination, Respondent shall immediately cease the practice of optometry until the re-examination has been successfully passed; as evidenced by written notice to Respondent from the Board.

If Respondent has not taken and passed the examination within six months from the effective date of this decision, Respondent shall be considered to be in violation of probation.

**10. COMMUNITY SERVICES**

All types of community services shall be at the Board's discretion, depending on the violation. Within 30 calendar days of the effective date of this decision, Respondent shall submit to the Board, for its prior approval, a community service program in which Respondent provides free non-optometric or professional optometric services on a regular basis to a community or charitable facility or agency, amounting to a minimum of \_\_\_\_\_ (Ex: 20) hours per month of probation. Such services shall begin no later than 15 calendar days after Respondent is notified of the approved program.

**11. VALID LICENSE STATUS**

Respondent shall maintain a current, active and valid license for the length of the probation period. Failure to pay all fees and meet CE requirements prior to his/her license expiration date shall constitute a violation of probation.

**12. TOLLING FOR OUT-OF-STATE RESIDENCE OR PRACTICE**

Periods of residency or practice outside California, whether the periods of residency or practice are temporary or permanent, will toll the probation period but will not toll the cost recovery requirement, nor the probation monitoring costs incurred. Travel outside of California for more than 30 calendar days must be reported to the Board in writing prior to departure. Respondent shall notify the Board, in writing, within 14 calendar days, upon his/her return to California and prior to the commencement of any employment where representation as an optometrist is/was provided.

Respondent's license shall be automatically cancelled if Respondent's periods of temporary or permanent residence or practice outside California total two years. However, Respondent's license shall not be cancelled as long as Respondent is residing and practicing in another state of the United States and is on active probation with the licensing authority of that state, in which case the two year period shall begin on the date probation is completed or terminated in that state.

**13. LICENSE SURRENDER**

During Respondent's term of probation, if he/she ceases practicing due to retirement, health reasons, or is otherwise unable to satisfy any condition of probation, Respondent may surrender his/her license to the Board. The Board reserves the right to evaluate Respondent's request and exercise its discretion whether to grant the request, or to take any other action deemed appropriate and reasonable under the circumstances, without further hearing. Upon formal acceptance of the tendered license and wall certificate, Respondent will no longer be subject to the conditions of probation. All costs incurred (i.e., Cost Recovery and Probation Monitoring) are due upon reinstatement.

Surrender of Respondent's license shall be considered a Disciplinary Action and shall become a part of Respondent's license history with the Board.

**14. VIOLATION OF PROBATION**

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

**15. COMPLETION OF PROBATION**

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

**16. SALE OR CLOSURE OF AN OFFICE AND/OR PRACTICE**

If Respondent sells or closes his or her office after the imposition of administrative discipline, Respondent shall ensure the continuity of patient care and the transfer of patient records. Respondent shall also ensure that patients are refunded money for work/services not completed or provided, and shall not misrepresent to anyone the reason for the sale or closure of the office and/or practice. The provisions of this condition in no way authorize the practice of optometry by the Respondent during any period of license suspension.

**STANDARD ALCOHOL/DRUG CONDITIONS**

The following standards are in addition to standards 1-16 and apply to every licensee who is on probation for substance abuse, pursuant to Business and Professions Code §315 Uniform Standards.

- 17. Abstinence From Use of Controlled Substances/Alcohol
- 18. Biological Fluid Testing

**17. ABSTENTION FROM USE OF CONTROLLED SUBSTANCES/ALCOHOL**

Respondent shall abstain completely from the use or possession of alcohol, any and all other mood altering drugs or substances, and their associated paraphernalia. Respondent shall identify for the Board, a single physician, nurse practitioner or physician assistant who shall be aware of Respondent's history of substance abuse and will coordinate and monitor any prescriptions for Respondent for dangerous drugs, controlled substances, or mood altering drugs. The coordinating physician, nurse practitioner, or physician assistant shall report to the Board on a quarterly basis. Quarterly reports are due for each year of probation throughout the entire length of probation as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. physician, nurse practitioner, or physician assistant's name and signature;
4. physician, nurse practitioner, or physician assistant's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with physician, nurse practitioner, or physician assistant;
6. the Respondent's compliance with this condition;
7. if any substances have been prescribed, identification of a program for the time-limited use of any substances;
8. any change in behavior and/or personal habits;
9. assessment of the Respondent's ability to practice safely;
10. recommendation ~~dependant~~dependent on Respondent's progress and compliance with this condition on whether to continue with current prescription plan and/or treatment, modify plan and/or treatment, or require Respondent to cease practice;
11. other relevant information deemed necessary by the physician, nurse practitioner, physician, or the Board.

Respondent is ultimately responsible for ensuring his/her physician, nurse practitioner or physician assistant submits complete and timely reports. Failure to ensure each submission of complete and timely reports shall constitute a violation of probation.

The Board may require ~~a~~the single coordinating physician, nurse practitioner, or physician assistant to be a specialist in addictive medicine, or to consult with a specialist in addictive medicine.



Respondent shall execute a release authorizing the release of pharmacy and prescribing records as well as physical and mental health medical records. Respondent shall also provide information of treating physicians, counselors or any other treating professional as requested by the Board.

Respondent shall ensure that he/she is not in the presence of or in the same physical location as individuals who are using illegal substances, even if Respondent is not personally ingesting the drug(s). Any positive result that registers over the established laboratory cut off level shall constitute a violation of probation and shall result in the filing of an accusation and/or a petition to revoke probation against Respondent's optometric license.

Respondent also understands and agrees that any positive result that registers over the established laboratory cut off level shall be reported to each of Respondent's employers.

#### **18. BIOLOGICAL FLUID TESTING**

Respondent, at his/her expense, shall participate in random testing, including but not limited to biological fluid testing (i.e. urine, blood, saliva), breathalyzer, hair follicle testing, or any drug screening program approved by the Board. The length of time shall be for the entire probation period. The Respondent will be randomly drug tested at the frequency outlined in Uniform Standards for Substance Abuse #4.

Respondent shall make daily contact to determine if he/she is required to submit a specimen for testing, including weekends and holidays, at a lab approved by the Board. Board representatives may also appear unannounced, at any time to collect a specimen. All collections will be observed.

At all times Respondent shall fully cooperate with the Board or any of its representatives, and shall, when directed, appear for testing as requested and submit to such tests and samples for the detection of alcohol, narcotics, hypnotic, dangerous drugs or other controlled substances. All alternative testing sites, due to vacation or travel outside of California, must be approved by the Board prior to the vacation or travel.

If Respondent is unable to provide a specimen in a reasonable amount of time from the request, Respondent understands that, while at the work site, any Board representative may request from the supervisor, manager or director on duty to observe Respondent in a manner that does not interrupt or jeopardize patient care in any manner until such time Respondent provides a specimen acceptable to the Board.

If Respondent tests positive for a prohibited substance per his/her probationary order, Respondent's license shall be automatically suspended. The Board will contact the Respondent and his/her employers, supervisors, managers, work site monitors, and contractors and notify them that Respondent's license has been suspended as a result of a positive test. Thereafter, the Board may contact the specimen collector, laboratory, Respondent, treating physician, treatment provider and support group facilitators to determine whether the positive test is in fact evidence of prohibited use. If the Board determines the positive test is not evidence of prohibited use, the Board shall immediately reinstate the license and inform the Respondent and others previously contacted, that the license is no longer suspended.

Failure to submit to testing on the day requested, or appear as requested by any Board representative for testing, as directed, shall constitute a violation of probation and shall result in the filing of an accusation and/or a petition to revoke probation against Respondent's optometrist license.

**OPTIONAL CONDITIONS**

The conditions imposed are dependent upon the violation(s) committed.

19. Participate in Group Support Meeting
20. Notice to Patients
21. Alcohol and Drug Treatment
22. Worksite Monitor
23. Direct Supervision
24. Remedial Education
25. Suspension
26. Employment Limitations
27. Psychotherapy or Counseling Program
28. Mental Health Evaluation
29. Medical Health Evaluation
30. Medical Treatment
31. Restitution
32. Audit Required
33. Lens Prescriptions – Maintain Records
34. Restricted Practice
35. Restrictions as to Branch Offices
36. Restrictions as to Advertisement
37. Take and Pass NBEO Exams
38. Continuing Education
39. Medical Record Keeping Course

**19. PARTICIPATE IN GROUP SUPPORT MEETING**

Respondent shall attend at least one (1), 12-step recovery meeting or equivalent during each week of probation, as approved or directed by the Board. Respondent shall submit dated and signed documentation confirming such attendance to the Board during the entire period of probation

**20. NOTICE TO PATIENTS**

During the period of probation, Respondent shall post a notice in a prominent place in his/her office that is conspicuous and readable to the public. The notice shall state the Respondent's Optometric license is on probation and shall contain the telephone number of the State Board of Optometry. Respondent shall also post a notice containing this information prominently on any website related to his/her practice of Optometry. ~~The notice described above shall be submitted to the Board for approval approved by the Board~~ within 30 calendar days of the effective date of this decision ~~and shall be approved by the Board prior to posting.~~

Commented [KC1]: Language changed for additional clarity.

**21. ALCOHOL AND DRUG TREATMENT**

Respondent, at his/her expense, shall successfully complete a treatment regime at a recognized and established program in California of at least six months duration and approved by the Board. The treatment program shall be successfully completed within the first nine months of probation. The program director, psychiatrist, or psychologist shall confirm that Respondent has complied with the requirement of this decision and shall notify the Board immediately if he/she believes the Respondent cannot safely practice. Respondent shall sign a release allowing the program to release to the Board all information the Board deems relevant.

Respondent shall inform the program director, psychiatrist or psychologist, of his/her probationary status with the Board, and shall cause that individual to submit monthly reports to

the Board providing information concerning Respondent's progress and prognosis. Such reports shall include results of biological fluid testing.

Positive results shall be reported immediately to the Board and may be used in administrative discipline.

## **22. WORKSITE MONITOR**

Within 30 calendar days of the effective date of this decision, Respondent shall submit to the Board or its designee for prior approval as a worksite monitor, the name and qualifications of an optometrist or board certified ophthalmologist, and a plan of practice in which Respondent's practice shall be monitored by the approved worksite monitor. The worksite monitor's license scope of practice shall include the scope of practice of the Respondent that is being monitored. The worksite monitor shall have an active unrestricted license, with no disciplinary action within the last five (5) years. The worksite monitor shall not have any financial, personal, or familial relationship with the Respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the Board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the Board; however, under no circumstances shall a licensee's worksite monitor be an employee of the licensee. Any cost for such monitoring shall be paid by Respondent.

The Board or its designee shall provide the approved worksite monitor with copies of the decision(s) and accusation(s), and a proposed monitoring plan. Within 15 calendar days of receipt of the decision(s), accusation(s), and proposed monitoring plan, the worksite monitor shall sign an affirmation that he or she has reviewed the terms and conditions of the licensee's disciplinary order, fully understands the role of worksite monitor, and agrees or disagrees with the proposed monitoring plan set forth by the Board. If the worksite monitor disagrees with the proposed monitoring plan, the worksite monitor shall submit a revised worksite monitoring plan with the signed affirmation for approval by the Board or its designee.

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

If Respondent fails to obtain approval of a monitor within 60 calendar days of the effective date of this decision, Respondent shall receive a notification from the Board or its designees to cease the practice of optometry within three (3) calendar days after being so notified. Respondent shall cease practice until a worksite monitor is approved to provide worksite monitoring responsibility.

The worksite monitor must adhere at a minimum, to the following required methods of monitoring the Respondent:

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

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

The worksite monitor must submit quarterly reports documenting the Respondent's work performance. Reports are due for each year of probation and the entire length of probation from the worksite monitor as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. worksite monitor's name and signature;
4. worksite monitor's license number;
5. worksite location(s);
6. dates Respondent had face-to-face contact or correspondence (written and verbal) with monitor;
7. staff interviewed, if applicable;
8. attendance report;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~ [dependent](#) on Respondent's performance on whether to continue with current worksite monitor plan or modify the plan;
12. other relevant information deemed necessary by the worksite monitor or the Board.

Respondent is ultimately responsible for ensuring his/her worksite monitor submits complete and timely reports. Failure to ensure his/her worksite monitor submits complete and timely reports shall constitute a violation of probation.

If the monitor resigns or is no longer available, Respondent shall, within five (5) calendar days of such resignation or unavailability, submit in writing to the Board or its designee, for prior approval, the name and qualifications of a replacement worksite monitor who will be assuming that responsibility within 15 calendar days. If Respondent fails to obtain approval of a replacement monitor within 60 calendar days of the resignation or unavailability of the monitor, Respondent shall receive a notification from the Board or its designee to cease the practice of optometry within three (3) calendar days. After being so notified, Respondent shall cease practice until a replacement monitor is approved and assumes monitoring responsibility.

### **23. DIRECT SUPERVISION**

During the period of probation, Respondent shall be under the direct supervision of an optometrist or ophthalmologist holding a current and valid un-restricted license issued by their respective Board. "Direct supervision" means assigned to an optometrist who is on duty and immediately available in the assigned patient area. The Board shall be informed in writing of and approve the level of supervision provided to the Respondent while he/she is functioning as a licensed optometrist. The appropriate level of supervision must be approved by the Board prior to engaging in practice.

Supervisor Quarterly Reports of Performance are due for each year of probation and the entire length of probation from each employer, as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. direct supervisor's name and signature;
4. direct supervisor's license number;
5. worksite location(s);
6. dates Respondent had face-to-face contact or correspondence (written and verbal) with direct supervisor;
7. staff interviewed, if applicable;
8. attendance report;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~ dependent on Respondent's performance on whether to continue with current direct supervisor plan or modify the plan;
12. other relevant information deemed necessary by the direct supervisor or the Board.

Respondent is ultimately responsible for ensuring his/her supervisor submits complete and timely reports. Failure to ensure each supervisor submits complete and timely reports shall constitute a violation of probation.

#### **24. REMEDIAL EDUCATION**

Respondent shall take and successfully complete the equivalency of (Ex:\_\_\_\_) semester units in each of the following areas **pertaining to the practice of Optometry**: (Ex: eye disease, when to refer, contact lenses). All course work shall be taken at the graduate level at an accredited or approved educational institution that offers a qualifying degree for licensure as an optometrist, or through a course approved by the Board. Classroom attendance must be specifically required. Course content shall be pertinent to the violation and all course work must be completed within one year from the effective date of this decision. Successful completion is a grade of "C" or "70%" or better for any completed course.

Within 90 calendar days of the effective date of the decision Respondent shall submit a plan for prior Board approval for meeting these educational requirements. All costs of the course work shall be paid by the Respondent. Units obtained for an approved course shall not be used for continuing education units required for renewal of licensure.

#### **25. SUSPENSION**

As part of probation, Respondent shall be suspended from the practice of optometry for a period of \_\_\_\_\_ (Ex: 90 calendar days) beginning the effective date of this decision. If not employed as an optometrist or if currently on any other type of leave from employment, the suspension shall be served once employment has been established or reestablished and prior to the end of the probationary period. Respondent shall ensure that each employer informs the Board, in writing, that it is aware of the dates of suspension.

## 26. EMPLOYMENT LIMITATIONS

Respondent shall not work in any health care setting as a supervisor of optometrists. ~~The Board may additionally restrict Respondent from supervising technicians and/or unlicensed assistive personnel on a case-by-case basis.~~

**Commented [KC2]:** Language changed for consistency in limiting Probationer's ability to supervise others during probation.

Respondent shall not work as a faculty member in an approved school of optometry or as an instructor in a Board-approved continuing education program.

Respondent shall work only in a regularly assigned, identified and predetermined worksite(s) and shall not work in a "float" capacity.

## 27. PSYCHOTHERAPY OR COUNSELING PROGRAM

Within 30 calendar days of the effective date of this decision, Respondent shall submit to the Board for its prior approval the name and qualifications of a psychotherapist, or counselor of Respondent's choice. Upon approval, Respondent shall undergo and continue treatment, at Respondent's cost, until such time as the Board releases him/her from this requirement and only upon the recommendation of the treating psychotherapist or counselor.

The treating psychotherapist or counselor must submit quarterly reports. Reports are due each year of probation and the entire length of probation from the treating psychotherapist or counselor as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. psychotherapist or counselor's name and signature;
4. psychotherapist or counselor's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with psychotherapist or counselor;
6. the Respondent's compliance with this condition;
7. the Respondent's diagnosis, prognosis, and progress;
8. if any substances have been prescribed, identification of a program for the time-limited use of any substances;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~ dependent on Respondent's progress and compliance with this condition on whether to continue with current treatment plan, modify plan treatment plan, or require Respondent to cease practice;
12. other relevant information deemed necessary by the psychotherapist, counselor or the Board.

Respondent is ultimately responsible for ensuring his/her treating psychotherapist or counselor submits complete and timely reports. Failure to ensure each submission of complete and timely reports shall constitute a violation of probation.

The Board may require Respondent to undergo psychiatric or psychological evaluations by a Board- approved psychiatrist or psychologist.

**NOTE:** This condition is for those cases where the evidence demonstrates that the Respondent has had impairment (mental illness, alcohol abuse and drug abuse) related to the violations but is not at present a danger to patients.

## **28. MENTAL HEALTH EVALUATION**

Respondent shall, within 30 calendar days of the effective date of this decision, and on a periodic basis thereafter as may be required by the Board or its designee, to submit to a mental health evaluation, including psychological testing as appropriate, to determine his/her capability to perform the duties of an optometrist. The evaluation will be performed by a psychiatrist, psychologist or other licensed mental health practitioner approved by the Board. An immediate suspension may be imposed by the Board until further notification if the results from the mental health evaluation prove the Respondent is unsafe to practice.

If Respondent fails to have the above evaluation submitted to the Board within the 30 calendar day requirement, Respondent shall immediately cease practice and shall not resume practice until notified by the Board. This period of suspension will not apply to the reduction of this probationary time period. The Board may waive or postpone this suspension only if significant, documented evidence of mitigation is provided. Such evidence must establish good faith efforts by Respondent to obtain the evaluation, and a specific date for compliance must be provided. Only one such waiver or extension may be permitted.

Following the evaluation, Respondent shall comply with all restrictions or conditions recommended by the evaluator within 15 calendar days after being notified by the Board or its designee. If Respondent is required by the Board or its designee to undergo treatment, Respondent shall, within 30 calendar days of the requirement notice, submit to the Board or its designee for prior approval the name and qualifications of a licensed psychiatrist, psychologist or other licensed mental health practitioner of Respondent's choice. Upon approval of the treating psychiatrist, psychologist or other licensed health practitioner, Respondent shall within 15 calendar days undergo treatment and shall continue such treatment until further notice from the Board or its designee and discontinue treatment only upon the recommendation of the treating psychiatrist, psychologist or other licensed health practitioner.

The treating psychiatrist, psychologist or other licensed mental health practitioner shall consider the information provided by the Board or its designee or any other information the treating psychiatrist, psychologist or other mental health practitioner may deem pertinent prior to the commencement of treatment. Respondent shall have the psychiatrist, psychologist or other health practitioner submit quarterly reports to the Board or its designee indicating whether or not the Respondent is capable of practicing optometry safely. The quarterly reports are due each year of probation and the entire length of probation from the psychiatrist, psychologist or other licensed mental health practitioner as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.

**Commented [KC3]:** Language added for clarity and consistency with similar terms.

- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. treating psychiatrist, psychologist or other licensed mental health practitioner's name and signature;
4. treating psychiatrist, psychologist or other licensed mental health practitioner's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with treating psychiatrist, psychologist or other licensed mental health practitioner;
6. the Respondent's compliance with this condition;
7. the Respondent's diagnosis, prognosis, and progress;
8. if any substances have been prescribed, identification of a program for the time-limited use of any substances;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~dependent on Respondent's evaluation, progress and compliance with this condition on whether to continue with current treatment plan, modify treatment plan, or require Respondent to cease practice;
12. other relevant information deemed necessary by the treating psychiatrist, psychologist, other licensed mental health practitioner, or the Board.

Respondent is ultimately responsible for ensuring his/her psychiatrist, psychologist or other licensed mental health practitioner submits complete and timely reports. Failure to ensure each submission of complete and timely reports shall constitute a violation of probation.

Respondent shall provide the Board or its designee with any and all medical records pertaining to treatment deemed necessary by the Board or its designee.

If, prior to the completion of probation, Respondent is found to be mentally incapable of resuming the practice of optometry without restrictions, the Board shall retain continuing jurisdiction of Respondent's license and the period of probation shall be extended until the Board determines that Respondent is mentally capable of resuming practice of optometry without restrictions. Respondents shall pay the cost of the evaluation(s) and treatment.

**(OPTIONAL):** Respondent shall not engage in the practice of optometry until notified by the Board of its determination that Respondent is mentally fit to practice safely.

**NOTE:** This condition is for those cases where the evidence demonstrates that mental illness or disability was a contributing cause of the violations.

## **29. MEDICAL HEALTH EVALUATION**

Within 30 calendar days of the effective date of this decision, and on a periodic basis thereafter as may be required by the Board or its designee, Respondent shall undergo a medical evaluation, at Respondent's cost, by a Board- appointed physician who shall furnish a medical report to the Board or its designee. Based on the medical evaluation, the Board may require Respondent to undergo medical treatment.

If Respondent is required by the Board or its designee to undergo medical treatment, Respondent shall within 30 calendar days of the requirement notice submit to the Board for its



prior approval the name and qualification of a physician of Respondent's choice. Upon approval of the treating physician, Respondent shall undergo and continue medical treatment, at Respondent's cost, until further notice from the Board ~~and discontinue treatment only upon the recommendation of the treating physician~~. Respondent shall have the treating physician submit quarterly reports to the Board. Quarterly reports are due each year of probation and the entire length of probation from the treating physician as follows:

**Commented [KC4]:** Language added for clarity and consistency with similar terms.

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. treating physician's name and signature;
4. treating physician's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with treating physician;
6. the Respondent's compliance with this condition;
7. the Respondent's diagnosis, prognosis, and progress;
8. if any substances have been prescribed, identification of a program for the time-limited use of any substances;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~ dependent on Respondent's evaluation results, progress and compliance with this condition ~~-on whether to continue with current treatment plan or modify the treatment plan;~~
12. other relevant information deemed necessary by the treating physician, or the Board.

Respondent is ultimately responsible for ensuring his/her physician submits complete and timely reports. Failure to ensure each submission of complete and timely reports shall constitute a violation of probation.

**(OPTIONAL):** Respondent shall not engage in the practice of optometry until notified by the Board of its determination that Respondent is medically fit to practice safely.

**NOTE:** This condition is for those cases where the evidence demonstrates that medical illness or disability was a contributing cause of the violations.

### **30. MEDICAL TREATMENT**

Within 30 calendar days of the effective date of this decision, Respondent shall submit to the Board for its prior approval the name and qualifications of a physician of Respondent's choice. Upon approval, Respondent shall undergo and continue treatment, at Respondent's cost, until the Board deems that no further medical treatment is necessary ~~and discontinue treatment only upon the recommendation of the treating physician~~. Respondent shall have the treating physician submit quarterly status reports to the Board. Quarterly status reports are due each year of probation and the entire length of probation from the treating physician as follows:

**Commented [KC5]:** Language added for clarity and consistency with similar terms.

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. treating physician's name and signature;
4. treating physician's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with treating physician;
6. the Respondent's compliance with this condition;
7. the Respondent's diagnosis, prognosis, and progress;
8. if any substances have been prescribed, identification of a program for the time-limited use of any substances;
9. any change in behavior and/or personal habits;
10. assessment of the Respondent's ability to practice safely;
11. recommendation ~~dependant~~ dependent on Respondent's progress and compliance with this condition on whether to continue with current treatment plan or modify the treatment plan;
12. other relevant information deemed necessary by the treating physician, or the Board.

Respondent is ultimately responsible for ensuring his/her treating physician submits complete and timely reports. Failure to ensure each submission of complete and timely reports shall constitute a violation of probation.

Commented [KC6]: Language added for clarify

The Board may require Respondent to undergo periodic medical evaluations by a Board-approved physician.

### **31. RESTITUTION**

Within 90 calendar days of the effective date of this decision, Respondent shall provide to the Board or its designee proof of restitution in the amount of \$\_\_\_\_\_ paid to \_\_\_\_\_.

### **32. AUDIT REQUIRED**

The Board shall require quarterly audits of patient visits, billings, and payments as a condition of probation.

Within 30 calendar days of the effective date of this decision, Respondent shall provide to the Board or its designee the names and qualifications of three third party auditors. The Board or its designee shall select one of the three auditors to audit Respondent's billings. During said audit, randomly selected client billing records shall be reviewed in accordance with accepted auditing/accounting standards and practices.

The Board or its designee shall provide the approved auditor with copies of the decision(s) and accusation(s), and a proposed auditing plan. Within 15 calendar days of receipt of the

decision(s), accusation(s), and proposed monitoring plan, the auditor shall sign an affirmation that he or she has reviewed the terms and conditions of the Respondent's disciplinary order, fully understands the role of auditor, and agrees or disagrees with the proposed auditing plan set forth by the Board. If the auditor disagrees with the proposed auditing plan, the auditor shall submit a revised auditing plan with the signed affirmation for approval by the Board or its designee.

Within 60 calendar days of the effective date of this decision, and continuing throughout probation, Respondent's patient visits, billings and payments shall be audited by the approved auditor. Respondent shall make all records available for immediate inspection and copying on the premises by the auditor at all times during business hours and shall retain the records for the entire term of probation.

If Respondent fails to obtain approval of an auditor within 60 calendar days of the effective date of this decision, Respondent shall receive a notification from the Board or its designee to cease the practice of optometry within three (3) calendar days after being so notified. Respondent shall cease practice until an auditor is approved to provide auditing responsibility.

The Board shall be advised of the results of the audit, and may obtain any and all copies of any documents audited or the results of the audit. The cost of the audits shall be borne by Respondent. Failure to pay for the audits in a timely fashion within ten (10) calendar days from audit completion shall constitute a violation of probation.

Quarterly reports of the audit results are due each year of probation and the entire length of probation from the auditor as follows:

- For the period covering January 1st through March 31st, reports are to be completed and submitted between April 1st and April 7th.
- For the period covering April 1st through June 30th, reports are to be completed and submitted between July 1st and July 7th.
- For the period covering July 1st through September 30th, reports are to be completed and submitted between October 1st and October 7th.
- For the period covering October 1st through December 31st, reports are to be completed and submitted between January 1st and January 7th.

The quarterly report shall include, but not be limited to:

1. the Respondent's name;
2. license number;
3. auditor's name and signature;
4. auditor's license number;
5. dates Respondent had face-to-face contact or correspondence (written and verbal) with auditor;
6. the Respondent's compliance with this condition;
7. the Respondent's compliance with accepted auditing/accounting standards and practices;
8. ~~any change in behavior and/or personal habits;~~
9. ~~assessment of the Respondent's ability to practice safely;~~
10. ~~8.~~ recommendation ~~dependant~~ dependent on Respondent's audit results and compliance with this condition on whether to continue with current audit plan or modify the plan;
11. ~~9.~~ other relevant information deemed necessary by the auditor, or the Board.

Commented [KC7]: Inappropriate to request of a billing auditor

Respondent is ultimately responsible for ensuring his/her auditor submits complete and timely reports. Failure to ensure each auditor submits complete and timely reports shall constitute a violation of probation.

If the auditor resigns or is no longer available, Respondent shall, within five (5) days of such resignation or unavailability, submit to the Board or its designee, for prior approval, the names and qualifications of a replacement third party auditor who will be assuming that responsibility within 15 calendar days. If Respondent fails to obtain approval of a replacement auditor within 60 calendar days of the resignation or unavailability of the auditor, Respondent shall receive a notification from the Board or its designee to cease the practice of optometry within three (3) calendar days. After being so notified, Respondent shall cease practice until a replacement auditor is approved and assumes auditing responsibility.

### **33. LENS PRESCRIPTIONS - MAINTAIN RECORDS**

Respondent shall maintain patient records of all ~~lens~~ prescriptions dispensed or administered by Respondent during probation, showing all the following:

1. name and address of the patient;
2. date;
3. lens or drug prescribed, including dose and duration, as applicable
34. price of the services and goods involved in the prescription;
54. visual impairment identified or ocular medical condition for which the prescription was furnished.

Respondent shall keep these patient records in a separate file, in chronological order, and shall make them available for inspection and copying by the Board or its designee, upon request.

**Commented [KC8]:** This term was updated so that it could be used both for lens prescriptions and medication prescriptions.

### **34. RESTRICTED PRACTICE**

During probation, Respondent is prohibited from practicing \_\_\_\_\_ (Ex. Specified optometric procedures).

### **35. RESTRICTION ON BRANCH OFFICES**

During the period of probation, Respondent shall be restricted as to the number and location of branch offices that the Respondent may operate or in which the Respondent may have any proprietary interest as designated and approved in writing by the Board.

### **36. RESTRICTIONS ON ADVERTISEMENTS**

During the entire period of probation, the Respondent shall, prior to any publication or public dissemination, submit any and all advertisement of professional services in the field of optometry to the Board for its prior approval. Such advertisement may be published or disseminated to the public only after written approval by the Board.

### **37. TAKE AND PASS NBEO EXAM**

Respondent shall take and pass part(s) \_\_\_\_ of the National Board of Examiners of Optometry (NBEO). Respondent shall pay the established examination fees. If Respondent has not taken and passed the examination within twelve months from the effective date of this decision, Respondent shall be considered to be in violation of probation.

### **38. CONTINUING EDUCATION**

Within 30 calendar days of the effective date of this decision, Respondent shall submit to the Board for its prior approval an educational program or course to be in areas of \_\_\_\_\_ (E.g., practice

management, retinal disease, drug/alcohol addiction). The education program or course(s) shall consist of a minimum of four (4) hours for each practice area.

This program or course shall be in addition to the Continuing Optometric Education requirements for renewal, and shall be obtained with all costs being paid by the Respondent. Following completion of each course, the Board or its designee may administer an examination to test Respondent's knowledge of the course. Respondent shall provide written proof of attendance in such course or courses approved by the Board.

### **39. MEDICAL RECORD KEEPING COURSE**

Within 60 calendar days of the effective date of this decision, Respondent shall enroll in a course in medical record keeping equivalent to the Medical Record Keeping Course offered by the Physician Assessment and Clinical Education Program, University of California, San Diego School of Medicine (Program), approved in advance by the Board or its designee. Respondent shall provide the program with any information and documents that the Program may deem pertinent. Respondent shall participate in and successfully complete the classroom component of the course not later than six (6) months after Respondent's initial enrollment. Respondent shall successfully complete any other component of the course within one (1) year of enrollment. The medical record keeping course shall be at Respondent's expense and shall be in addition to the continuing optometric education requirements for renewal of licensure.

A medical record keeping course taken after the acts that gave rise to the charges in the accusation, but prior to the effective date of the decision may, in the sole discretion of the Board or its designee, be accepted towards the fulfillment of this condition if the course would have been approved by the Board or its designee had the course been taken after the effective date of this decision.

Respondent shall submit a certification of successful completion to the Board or its designee not later than 15 calendar days after the effective date of the decision, whichever is later.

### **RECOMMENDED DISCIPLINE BASED ON VIOLATION**

The following is an attempt to provide information regarding violations of statutes and regulations under the jurisdiction of the California State Board of Optometry and the appropriate range of penalties for each violation. Each discipline listed corresponds with a number under the chapters:

- Probationary Terms and Condition – Standard Terms and Conditions;
- Standard Alcohol/Drug Conditions; and
- Optional Conditions

Examples are given for illustrative purposes, but no attempt is made to list all possible violations. Optional conditions listed are those the Board deems most appropriate for the particular violation.

**Excessive Prescribing or Treatment** (B&P Code sec. [725.3110\(n\)](#); [3110\(o\)](#)).

**Maximum Discipline: Revocation and Cost Recovery**

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

[33. Lens Prescriptions](#) - Maintain Records

[39. Medical Record Keeping Course](#)

[38. Continuing Education](#)

**If Warranted:**

[25. Suspension of 30 days or more](#)

22. Worksite Monitor

24. Remedial Education

[25. Suspension](#)

[38. Continuing Education](#)

[39. Medical Record Keeping Course](#)

**Commented [KC9]:** Updated to reflect new term language

**Commented [KC10]:** Not directly related to the violation

**Commented [KC11]:** Provides opportunity for increased knowledge base

**Commented [KC12]:** Removed the 30-day minimum for more discretion

**Commented [KC13]:** Moved to “if warranted” for discretion. Not always related to the violation.

**Violation of Prescription Standards:** Information Required (B&P Code sec. [3025.5](#); [3041](#); Title 16 CCR sec. [1565](#))

**Maximum Discipline: Revocation and Cost Recovery**

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

[33. Prescriptions](#) - Maintain Records

[38. Continuing Education](#)

[39. Medical Record Keeping Course](#)

**If Warranted:**

[25. Suspension of 30 days or more](#)

22. Worksite Monitor

24. Remedial Education

[25. Suspension](#)

[38. Continuing Education](#)

[39. Medical Record Keeping Course](#)

**Commented [KC14]:** Updated to reflect new term language

**Commented [KC15]:** Provides opportunity for increased knowledge base

**Commented [KC16]:** Removed the 30-day minimum for more discretion

**Commented [KC17]:** Moved to “if warranted” for discretion. Not always related to the violation.

**Commented [SJ18]:** Duplicative

~~**Excessive Prescribing or Treatment** (B&P Code sec. [725.3110\(n\)](#); [3110\(o\)](#))~~

~~**Maximum Discipline: Revocation and Cost Recovery**~~

~~**Minimum Discipline:** Stayed Revocation, 3-5 years probation~~

~~**Required:**~~

~~1-16. Standard Conditions~~  
~~33. Prescriptions—Maintain Records~~  
~~38. Continuing Education~~

**If Warranted:**

~~22. Worksite Monitor~~  
~~24. Remedial Education~~  
~~25. Suspension~~  
~~39. Medical Record Keeping Course~~

**Sexual Misconduct** (B&P Code sec. [726](#), [3110\(m\)](#))

**Maximum Discipline: Revocation and Cost Recovery**

**Minimum Discipline:** Revocation

**Mental or Physical Fitness** (B&P Code sec. [820](#))

**Maximum Discipline: Revocation and Cost Recovery**

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions  
[23. Direct Supervision](#)  
[25. Suspension](#)  
[27. Psychotherapy or Counseling Program](#)  
[30. Medical Treatment](#)

~~28. Mental Health Evaluation~~

**If Warranted:**

~~25. Suspension~~  
[20. Notice to Patients](#)  
~~34. Restricted Practice~~  
22. Worksite Monitor  
[27. Psychotherapy or Counseling Program](#)  
[28. Mental Health Evaluation](#)  
29. Medical Evaluation  
[34. Restricted Practice](#)  
~~30. Medical Treatment~~

**Gross Negligence** (B&P Code sec. [3110 \(b\)](#); Title 16 CCR sec. [1510](#))

**Maximum Discipline: Revocation and Cost Recovery**

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions  
[22. Worksite Monitor](#)  
[24. Remedial Education](#)  
[25. Suspension](#)  
~~24. Remedial Education~~  
~~22. Worksite Monitor~~

**If Warranted:**

[20. Notice to Patients](#)  
23. Direct Supervision  
~~25. Suspension of 30 days or more~~  
26. Employment Limitations  
34. Restricted Practice  
~~31. Restitution~~  
36. Restrictions on Advertisements  
37. Take and Pass NBEO Exam

**Commented [KC19]:** Helps ensure safe practice on a daily basis

**Commented [KC20]:** Provides time to ensure safe practice

**Commented [KC21]:** Directly related to the charge

**Commented [KC22]:** Directly related to the charge

**Commented [KC23]:** In most cases, Respondent will have already completed a mental health evaluation

**Commented [KC24]:** May be appropriate in some cases for consumer protection

**Commented [KC25]:** For those cases where Respondent has not already completed a mental health evaluation, this was added to "if warranted"

**Commented [SR26]:** Should this be required?

**Commented [KC27]:** May be appropriate in some cases for consumer protection

**Commented [KC28]:** Removed the 30-day minimum for more discretion

**Commented [KC29]:** Unrelated to the charge

38. Continuing Education

39. Medical Record Keeping Course

**Failure to Refer Patient** (B&P Code sec. 3110(y); 3041)**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

22. Worksite Monitor

38. Continuing Education

**If Warranted:**23. Direct Supervision

24. Remedial Education

~~34. Restricted Practice~~~~25. Suspension of 30 days or more~~~~22. Worksite Monitor~~

26. Employment Limitations

33. Prescriptions – Maintain Records34. Restricted Practice

39. Medical Record Keeping Course

**Commented [KC30]:** Provides opportunity for increasing knowledge base in subjects directly related to the charge**Commented [SR31]:** Cumbersome – Discuss.**Commented [KC32]:** Helps ensure safe practice on a daily basis**Commented [KC33]:** Removed the 30-day minimum for more discretion**Commented [KC34]:** Allows the opportunity to verify that Respondent is not over-prescribing instead of referring patients**Violation of Quality Standards for Prescription Ophthalmic Devices** (B&P Code sec. 2541.3; Title 16 CCR sec. 1519)**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

33. Prescriptions – Maintain Records38. Continuing Education~~24. Remedial Education~~**If Warranted:**~~34. Restricted Practice~~22. Worksite Monitor~~25. Suspension of 30 days or more~~~~22. Worksite Monitor~~ 34. Restricted Practice

37. Take and Pass NBEO Exam

39. Medical Record Keeping Course

**Commented [KC35]:** Allows the opportunity to verify quality of dispensed prescriptions**Commented [KC36]:** Provides opportunity for increasing knowledge base in subjects directly related to the charge**Commented [KC37]:** This is a cumbersome term that is not appropriate for this violation.**Commented [KC38]:** More cumbersome to complete than continuing education**Commented [KC39]:** Removed the 30-day minimum for more discretion**Violation of Health and Safety Standards** (B&P Code sec. 3025.5; ~~Title 16 CCR sec. 1520~~)**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

37. Take and Pass NBEO Exams – Part III Clinical Skills Exam

38. Continuing Education

**If Warranted:**22. Worksite Monitor

24. Remedial Education

~~34. Restricted Practice~~~~25. Suspension of 30 days or more~~~~22. Worksite Monitor~~34. Restricted Practice

39. Medical Record Keeping Course

**Commented [KC40]:** Provides opportunity to assess clinical skills**Commented [KC41]:** Removed the 30-day minimum for more discretion**Failure to Follow Infection Control Guidelines** (B&P Code sec. 3110(w); Title 16 CCR sec. 1520)



**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions
- 22. Worksite Monitor
- ~~37. Take and Pass NBEO Exams~~
- 38. Continuing Education

**If Warranted:**

- 23. Direct Supervision
- 24. Remedial Education
- 25. Suspension

**Commented [KC42]:** Unrelated to the charge

**Violations Regarding Topical Pharmaceutical Agents** (B&P Code sec. [3041.2](#); Title 16 CCR sec. ~~1560~~; [1561](#); [1562](#); [1563](#))

**Maximum Discipline:** [Revocation and Cost Recovery](#)

**Minimum Discipline:** [Stayed Revocation, 3-5 years probation](#)

**Required:**

- [1-16. Standard Conditions](#)
- [33. Prescriptions - Maintain Records](#)
- [38. Continuing Education](#)

**If Warranted:**

- [22. Worksite Monitor](#)
- [24. Remedial Education](#)
- [25. Suspension](#)
- [34. Restricted Practice](#)
- [39. Medical Record Keeping Course](#)

**Maximum Discipline:** ~~Revocation and Cost Recovery~~

**Minimum Discipline:** ~~Stayed Revocation, 3-5 years probation~~

**Required:**

- ~~1-16. Standard Conditions~~
- ~~38. Continuing Education~~

**If Warranted:**

- ~~24. Remedial Education~~
- ~~34. Restricted Practice~~
- ~~25. Suspension of 30 days or more~~
- ~~22. Worksite Monitor~~

**Commented [KC43]:** Provides opportunity to verify pharmaceutical prescriptions

**Commented [SR44]:** For discussion. Add blank to the condition for length of time, coincide with remedial education?

**Commented [KC45]:** May be warranted in cases where record keeping is an issue

**Commented [KC46]:** Removed the 30-day minimum for more discretion

**Fraud, Misrepresentation or Dishonesty** (B&P Code sec. [810](#); [3101](#); [3110 \(e\)](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions
- 24. Remedial Education
- 32. Audit Required
- 39. Medical Record Keeping Course

**If Warranted:**

- ~~25. Suspension of 30 days or more~~
- 22. Worksite Monitor
- 23. Direct Supervision
- [25. Suspension](#)
- 26. Employment Limitations
- 31. Restitution
- [33. Prescriptions – Maintain Records](#)
- 36. Restrictions on Advertisements
- 38. Continuing Education

**Commented [KC47]:** Removed the 30-day minimum for more discretion

**Commented [KC48]:** May be warranted in cases where the violation was related to prescriptions

**Procuring a License by Fraud** (B&P Code sec. [123](#); [496](#); [3110\(i\)](#))**Maximum Discipline:** Denial or Revocation**Minimum Discipline:** Denial or Revocation**Practicing without Valid License** (B&P Code sec. [3110\(s\)](#); ~~[3110\(t\)](#)~~)**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

[25. Suspension](#)**If Warranted:**

22. Worksite Monitor

~~[25. Suspension](#)~~~~[36. Restrictions on Advertisements](#)~~

38. Continuing Education

**Using Controlled Substances or Alcohol** (B&P Code sec. [3110 \(l\)](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

17-18. Standard Alcohol/Drug Conditions

**If Warranted:**[19. Participate in Group Support Meeting](#)

21. Alcohol and Drug Treatment

~~[25. Suspension of 30 days or more](#)~~

22. Worksite Monitor

~~[23. Direct Supervision](#)~~[25. Suspension](#)~~[34. Restricted Practice](#)~~

26. Employment Limitations

27. Psychotherapy or Counseling Program

28. Mental Health Evaluation

29. Medical Health Evaluation

30. Medical Treatment

[34. Restricted Practice](#)

38. Continuing Education

**Employing Suspended or Unlicensed Optometrist** (B&P Code sec. [3110 \(t\)](#); [3106](#))**Permitting Another to Use License** (B&P Code sec. [3110 \(u\)](#); [3106](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

1-16. Standard Conditions

[25. Suspension](#)**If Warranted:**~~[35. Restrictions on Branch Offices](#)~~~~[25. Suspension of 30 days or more](#)~~

22. Worksite Monitor

~~[34. Restricted Practice](#)~~

26. Employment Limitations

[34. Restricted Practice](#)[35. Restrictions on Branch Offices](#)

38. Continuing Education

**Commented [KC49]:** Moved to Required due to the severity of the violation. Removed the 30-day minimum for more discretion**Commented [SR50]:** As warranted. For discussion.**Commented [KC51]:** Directly related to the violation**Commented [KC52]:** Removed the 30-day minimum for more discretion**Commented [SR53]:** Double check on this. Do they have to be fired?**Commented [KC54]:** Moved to Required due to the severity of the violation. Removed the 30-day minimum for more discretion

**Accepting Employment ~~By~~ From Unlicensed Person** (B&P Code sec. [3109](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**[1-16. Standard Conditions](#)[25. Suspension](#)**If Warranted:**[22. Worksite Monitor](#)[26. Employment Limitations](#)[34. Restricted Practice](#)[35. Restrictions on Branch Offices](#)[38. Continuing Education](#)**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**[1-16. Standard Conditions](#)[38. Continuing Education](#)**If Warranted:**[25. Suspension of 30 days or more](#)**Commented [KC55]:** Moved to Required due to the severity of the violation. Removed the 30-day minimum for more discretion**Commented [KC56]:** Provides opportunity for more direct supervision**Commented [KC57]:** Allows limitations on employment settings when appropriate**Commented [KC58]:** Allows restrictions on specific procedures when appropriate**Commented [KC59]:** Allows restrictions on branch offices when appropriate**Commented [KC60]:** Moved to "if warranted" for discretion**Unlawful Location for Practice** (B&P Code sec. [3070](#); [3075](#); [3076](#); [3077](#); Title 16 CCR sec. [1505](#); [1506](#); [1507](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**[1-16. Standard Conditions](#)[38. Continuing Education](#)**If Warranted:**[35. Restrictions on Branch Offices](#)[22. Worksite Monitor](#)[25. Suspension of 30 days or more](#)[26. Employment Limitations](#)[22. Worksite Monitor](#)[34. Restricted Practice](#)[35. Restrictions on Branch Offices](#)[36. Restrictions as to Advertisements](#)[38. Continuing Education](#)**Commented [SR61]:** Discuss suspensions in general and minimum amount.**Commented [KC62]:** Removed the 30-day minimum for more discretion**Commented [KC63]:** Allows restrictions on branch offices when appropriate**Commented [KC64]:** Allows Board oversight of advertisements**Commented [KC65]:** Moved to "if warranted" for discretion**Deceptive Advertising** (B&P Code sec. [651](#); [651.3](#); [3099](#); [3100](#); [3102](#); [3103](#); [3110\(g\)](#); [17500](#); Title 16 CCR sec. [1512](#); [1513](#); [1514](#); ~~1515~~)**Maximum Discipline:** Revocation and Cost Recovery**Discipline:** Stayed Revocation, 3-5 years probation**Required:**[1-16. Standard Conditions](#)[36. Restrictions on Advertisements](#)[38. Continuing Education](#)**If Warranted:**[25. Suspension of 30 days or more](#)[36. Restrictions on Advertisements](#)[38. Continuing Education](#)**Commented [KC66]:** Allows Board oversight of advertisements. Directly related to the violation**Commented [KC67]:** Removed the 30-day minimum for more discretion**Commented [KC68]:** Moved to "if warranted" for discretion**Prohibited Arrangements by Optometrists** (B&P Code sec. [655](#); Title 16 CCR sec. [1514](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

~~38. Continuing Education~~

**If Warranted:**

[22. Worksite Monitor](#)

25. Suspension ~~of 30 days or more~~

[26. Employment Limitations](#)

[34. Restricted Practice](#)

[35. Restrictions as to Branch Offices](#)

~~36. Restrictions on Advertisements~~

[38. Continuing Education](#)

#### Advertising While Not Holding Valid License (B&P Code sec. [3101](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

[36. Restrictions on Advertisements](#)

~~38. Continuing Education~~

**If Warranted:**

[22. Worksite Monitor](#)

25. Suspension ~~of 30 days or more~~

[26. Employment Limitations](#)

[34. Restricted Practice](#)

~~36. Restrictions on Advertisements~~ [38. Continuing Education](#)

#### Misuse of Professional Titles or Abbreviations (B&P Code sec. [3098](#); Title 16 CCR sec. [1512](#))

**Maximum Discipline:** ~~6-month suspension. Revocation for successive violation~~  
[Revocation](#)

**Minimum Discipline:** ~~30 days suspension, and at least one-year probation~~ [Stayed Revocation, 3-5 years probation](#)

**Required:**

1-16. Standard Conditions

~~38. Continuing Education~~

[36. Restrictions on Advertisements](#)

**If Warranted:**

25. Suspension ~~of 30 days or more~~

[26. Employment Limitations](#)

[34. Restricted Practice](#)

~~36. Restrictions on Advertisements~~

[38. Continuing Education](#)

#### Unlawful Solicitation (B&P Code sec. [3097](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

**Commented [KC69]:** Provides opportunity for more direct supervision

**Commented [KC70]:** Removed the 30-day minimum for more discretion

**Commented [KC71]:** Allows for limitations on employment settings when appropriate. Directly related to the violation.

**Commented [KC72]:** Allows restrictions on specific procedures when appropriate.

**Commented [KC73]:** Allows restrictions on branch offices when appropriate.

**Commented [KC74]:** Moved to "if warranted" for discretion

**Commented [KC75]:** Allows Board oversight of advertisements. Directly related to the violation.

**Commented [KC76]:** Provides opportunity for more direct supervision

**Commented [KC77]:** Removed the 30-day minimum for more discretion

**Commented [KC78]:** Allows for limitations on employment settings when appropriate

**Commented [KC79]:** Allows restrictions on specific procedures when appropriate

**Commented [KC80]:** Moved to "if warranted" for discretion

**Commented [KC81]:** Changed for consistency with other violations.

**Commented [KC82]:** Allows Board oversight of advertising. Directly related to the violation

**Commented [KC83]:** Removed the 30-day minimum for more discretion

**Commented [KC84]:** Allows restrictions on employment settings when appropriate

**Commented [KC85]:** Allows restrictions on specific procedures when appropriate.

**Commented [KC86]:** Moved to "if warranted" for discretion

~~38. Continuing Education~~  
~~36. Restrictions on Advertisements~~

**If Warranted:**

~~25. Suspension of 30 days or more~~  
 22. Worksite Monitor  
~~25. Suspension~~  
 34. Restricted practice  
~~36. Restrictions on Advertisements~~  
~~38. Continuing Education~~

**Commented [KC87]:** Moved to “required” as it is directly related to the violation

**Commented [KC88]:** Removed the 30-day minimum for more discretion

**Commented [KC89]:** Moved to “if warranted” for discretion

**Unlawful Referrals** (B&P Code sec. ~~650~~; ~~650.01~~)

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions  
~~38. Continuing Education~~

**If Warranted:**

~~38. Continuing Education~~  
~~25. Suspension of 30 days or more~~  
 22. Worksite Monitor  
~~25. Suspension~~  
 34. Restricted practice  
 36. Restrictions on Advertisements  
~~38. Continuing Education~~

**Commented [KC90]:** Removed the 30-day minimum for more discretion

**Commented [KC91]:** Moved to “if warranted” for discretion

**Employing Cappers or Steerers** (B&P Code sec. ~~3104~~)

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions  
~~38. Continuing Education~~

**If Warranted:**

~~25. Suspension of 30 days or more~~  
 22. Worksite Monitor  
~~25. Suspension~~  
 34. Restricted practice  
 36. Restrictions on Advertisements  
~~38. Continuing Education~~

**Commented [KC92]:** Removed the 30-day minimum for more discretion

**Commented [KC93]:** Moved to “if warranted” for discretion

**Criminal Conviction** (B&P Code sec. ~~475~~; ~~480~~; ~~490~~; ~~3094~~; ~~3407~~; Title 16 CCR sec. ~~1517~~)

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

**If Warranted:**

24. Remedial Education  
~~25. Suspension of 30 days or more~~  
~~17-18. Standard Alcohol/ Drug Conditions~~  
 22. Worksite Monitor  
~~25. Suspension~~  
~~26. Employment Limitations~~

**Commented [KC94]:** Removed the 30-day minimum for more discretion

**Commented [KC95]:** This violation can be related to a substance abuse conviction

**Commented [KC96]:** Allows restrictions on employment settings when appropriate

- [27. Mental Health Evaluation](#)
- [28. Medical Health Evaluation](#)
- 34. Restricted practice
- ~~17-18. Standard Alcohol/ Drug Conditions~~
- 38. Continuing Education

**Commented [KC97]:** May be appropriate depending on circumstances of violation

**Commented [KC98]:** May be appropriate depending on circumstances of violation

#### **Fictitious Name Violation** (B&P Code sec. [3078](#); Title 16 CCR sec. [1513](#); [1518](#))

**Maximum Penalty:** 6 month Suspension. Revocation and Cost Recovery for successive violations

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions
- ~~38. Continuing Education~~
- [36. Restrictions on Advertisements](#)

**Commented [KC99]:** Allows Board oversight of advertising. Directly related to violation

**If Warranted:**

- [35. Restrictions on Branch Offices](#)
- ~~36. Restrictions on Advertisements~~
- [38. Continuing Education](#)

**Commented [KC100]:** Allows restrictions on branch offices when appropriate

**Commented [KC101]:** Moved to "if warranted" for discretion

#### **Violation of Probation**

**Maximum Discipline:** Impose discipline that was stayed; [revocation](#)

**Minimum Discipline:** Impose an actual period of suspension

The maximum discipline should be given for repeated similar offenses or for probation violations revealing a cavalier or recalcitrant attitude. Other violations of probation should draw at least a period of actual suspension.

#### **Violations by Professional Corporations** (B&P Code sec. [3160](#); ~~3161~~; ~~3162~~; ~~3163~~; [3164](#); [3165](#); [3166](#); Title 16 CCR sec. [1544](#); [1546](#); [1547](#); [1548](#); [1549](#); [1550](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions

**If Warranted:**

- ~~24. Remedial Education Course for corporate principals involved~~
- ~~25. Suspension of 30 days or more~~
- 22. Worksite Monitor
- [24. Remedial Education Course for corporate principals involved](#)
- [25. Suspension](#)
- [26. Employment Limitations](#)
- [31. Restitution](#)
- 34. Restricted practice
- [35. Restrictions as to Branch Offices](#)
- ~~31. Restitution~~
- 36. Restrictions on Advertisements
- 38. Continuing Education

**Commented [KC102]:** Removed the 30-day minimum for more discretion

**Commented [KC103]:** Allows restrictions on employment settings when appropriate

**Commented [KC104]:** Allows limitations on branch offices when appropriate

#### **Fraudulently Altering Medical Records** (B&P Code sec. [3105](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions
- [33. Prescriptions – Maintain Records](#)
- ~~38. Continuing Education~~

**Commented [KC105]:** Provides opportunity for review of prescriptions

39. Medical Record Keeping Course

**If Warranted:**

22. Worksite Monitor  
23. Direct Supervision  
25. Suspension

26. Employment Limitations

34. Restricted Practice

32. Audit Required

38. Continuing Education

**Commented [KC106]:** Allows limitations on employment settings when appropriate

**Commented [KC107]:** Allows limitations on specific procedures when appropriate

**Commented [KC108]:** Moved to "if warranted" for discretion

**False Representation of Fact (B&P Code sec. 3106)**

Maximum Discipline: Revocation and Cost Recovery

Minimum Discipline: Stayed Revocation, 3-5 years probation

Required:

1-16. Standard Conditions

24. Remedial Education

32. Audit Required

39. Medical Record Keeping Course

If Warranted:

22. Worksite Monitor

23. Direct Supervision

24. Remedial Education

25. Suspension

26. Employment Limitations

31. Restitution

33. Prescriptions – Maintain Records

36. Restrictions on Advertisements

38. Continuing Education

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

**If Warranted:**

~~23. Direct Supervision~~

~~24. Remedial Education~~

~~25. Suspension~~

~~26. Employment Limitations~~

~~31. Restitution~~

~~32. Audit Required~~

~~34. Restricted Practice~~

~~35. Restrictions on Branch Offices~~

~~36. Restrictions on Advertisements~~

~~38. Continuing Education~~

~~39. Medical Record Keeping Course~~

**Commented [KC109]:** This is a cumbersome term that is not appropriate as a requirement for this violation.

**Commented [KC110]:** Moved to "required" to provide more complete oversight

**Commented [KC111]:** Moved to "required"

**Commented [KC112]:** Provides opportunity for more direct supervision

**Commented [KC113]:** Provides opportunity to verify prescriptions

**Unprofessional Conduct (B&P code sec. 3110)**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 5 years probation

**Required:**

1-16. Standard Conditions

~~22. Worksite Monitor~~

~~24. Remedial Education~~

**If Warranted:**

~~23. Direct Supervision~~

**Commented [SR114]:** F/U with Anahita.

- ~~25. Suspension~~
- ~~26. Employment Limitations~~
- ~~38. Continuing Education~~
- ~~39. Medical Record Keeping Course~~

**Commented [KC115]:** We suggest removing this as 3110 without a subsection is not necessarily a violation

**Violating or abetting violation of any section of Optometry Practice Act (B&P Code sec. [3110](#) and/or [3110\(a\)](#))**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, [3-5](#) years probation

**Required:**

1-16. Standard Conditions

~~24. Remedial Education~~

**If Warranted:**

- [19. Participate in Group Support Meeting](#)
- [20. Notice to Patients](#)
- [21. Alcohol and Drug Treatment](#)
- [22. Worksite Monitor](#)
- [23. Direct Supervision](#)
- [24. Remedial Education](#)
- [25. Suspension](#)
- [26. Employment Limitations](#)
- [27. Psychotherapy or Counseling Program](#)
- [28. Mental Health Evaluation](#)
- [29. Medical Health Evaluation](#)
- [30. Medical Treatment](#)
- [31. Restitution](#)
- [32. Audit Required](#)
- [33. Lens Prescriptions – Maintain Records](#)
- [34. Restricted Practice](#)
- [35. Restrictions as to Branch Offices](#)
- [36. Restrictions as to Advertisement](#)
- [37. Take and Pass NBEO Exams](#)
- [38. Continuing Education](#)
- [39. Medical Record Keeping Course](#)

~~22. Worksite Monitor~~

~~23. Direct Supervision~~

~~25. Suspension~~

~~26. Employment Limitations~~

~~31. Restitution~~

~~32. Audit Required~~

~~36. Restrictions on Advertisements~~

~~38. Continuing Education~~

~~39. Medical Record Keeping Course~~

**Commented [KC116]:** This can be used in conjunction with any other violation, so we added all of the probation terms as "if warranted"

**Repeated Negligent Acts (B&P Code sec. [3110 \(c\)](#))**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, [3-5](#) years probation

**Required:**

1-16. Standard Conditions

[24. Remedial Education](#)

~~32. Audit Required~~

~~39. Medical Record Keeping Course~~

**If Warranted:**

[22. Worksite Monitor](#)

[23. Direct Supervision](#)

[25. Suspension](#)



[26. Employment Limitations](#)  
[31. Restitution](#)  
[32. Audit Required](#)

[33. Prescriptions – Maintain Records](#)  
[36. Restrictions on Advertisements](#)  
[38. Continuing Education](#)  
[39. Medical Record Keeping Course](#)

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Revocation and Cost Recovery

#### Incompetence (B&P Code sec. [3110 \(d\)](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

##### If Required:

1-16. Standard Conditions  
~~22. Worksite Monitor~~  
 23. Direct Supervision  
 24. Remedial Education  
 25. Suspension  
 26. Employment Limitations

##### If Warranted:

[20. Notice to Patients](#)  
[22. Worksite Monitor](#)  
[33. Prescriptions – Maintain Records](#)  
 37. Take and Pass NBEO Exam  
[38. Continuing Education](#)  
 39. Medical Record Keeping Course

#### Conduct Warranting License Denial (B&P Code sec. [3110 \(f\)](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

##### Required:

1-16. Standard Conditions

##### If Warranted:

[17-18. Standard Alcohol/ Drug Conditions](#)  
[19. Participate in Group Support Meeting](#)  
[20. Notice to Patients](#)  
[21. Alcohol and Drug Treatment](#)  
[22. Worksite Monitor](#)  
[23. Direct Supervision](#)  
[24. Remedial Education](#)  
[25. Suspension](#)  
[26. Employment Limitations](#)  
[27. Psychotherapy or Counseling Program](#)  
[28. Mental Health Evaluation](#)  
[29. Medical Health Evaluation](#)  
[30. Medical Treatment](#)  
[31. Restitution](#)  
[32. Audit Required](#)  
[33. Lens Prescriptions – Maintain Records](#)  
[34. Restricted Practice](#)  
[35. Restrictions as to Branch Offices](#)  
[36. Restrictions as to Advertisement](#)  
[37. Take and Pass NBEO Exams](#)

**Commented [KC117]:** Probation terms added for discretion

**Commented [KC118]:** Provides direct consumer protection through patient notice

**Commented [KC119]:** Can be cumbersome, not always warranted. Moved from "required" to "if warranted"

**Commented [KC120]:** Provides opportunity for review of prescriptions

**Commented [KC121]:** Provides opportunity for increased knowledge base

**Commented [KC122]:** Updated to reflect new term language

- 38. Continuing Education
- 39. Medical Record Keeping Course
- ~~21. Alcohol or Drug Treatment~~
- ~~22. Worksite Monitor~~
- ~~23. Direct Supervision~~
- ~~24. Remedial Education~~
- ~~25. Suspension~~
- ~~26. Employment Limitations~~
- ~~27. Psychotherapy or Counseling Program~~
- ~~28. Mental Health Evaluation~~
- ~~31. Restitution~~
- ~~32. Audit Required~~
- ~~33. Lens Prescription — Maintain Records~~
- ~~36. Restrictions on Advertisements~~
- ~~37. Take and Pass NBEO Exam~~
- ~~38. Continuing Education~~
- ~~39. Medical Record Keeping Course~~

**Commented [KC123]:** This can be used in conjunction with any other violation, so we added all of the probation terms as "if warranted"

**License Discipline by Other State or Agency** (B&P Code sec. [3110 \(h\)](#))

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

1-16. Standard Conditions

**If Warranted:**

- 17-18. Standard Alcohol/ Drug Conditions
- 19. Participate in Group Support Meeting
- 20. Notice to Patients
- 21. Alcohol and Drug Treatment
- 22. Worksite Monitor
- 23. Direct Supervision
- 24. Remedial Education
- 25. Suspension
- 26. Employment Limitations
- 27. Psychotherapy or Counseling Program
- 28. Mental Health Evaluation
- 29. Medical Health Evaluation
- 30. Medical Treatment
- 31. Restitution
- 32. Audit Required
- 33. Lens Prescriptions — Maintain Records
- 34. Restricted Practice
- 35. Restrictions as to Branch Offices
- 36. Restrictions as to Advertisement
- 37. Take and Pass NBEO Exams
- 38. Continuing Education
- 39. Medical Record Keeping Course
- ~~21. Alcohol or Drug Treatment~~
- ~~22. Worksite Monitor~~
- ~~23. Direct Supervision~~
- ~~24. Remedial Education~~
- ~~25. Suspension~~
- ~~26. Employment Limitations~~
- ~~27. Psychotherapy or Counseling Program~~
- ~~28. Mental Health Evaluation~~
- ~~32. Audit Required~~
- ~~33. Lens Prescription — Maintain Records~~

**Commented [KC124]:** Updated to reflect new term language

**Commented [KC125]:** This could be related to any violation, so all optional probation terms were moved into "if warranted"

- ~~37. Take and Pass NBEO Exam~~
- ~~38. Continuing Education~~
- ~~39. Medical Record Keeping Course~~

**Making False Statement on Application (B&P Code sec. [3110 \(j\)](#))**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- [1-16. Standard Conditions](#)
- [24. Remedial Education](#)
- [32. Audit Required](#)
- [39. Medical Record Keeping Course](#)

**If Warranted:**

- [22. Worksite Monitor](#)
- [23. Direct Supervision](#)
- [25. Suspension](#)
- [26. Employment Limitations](#)
- [31. Restitution](#)
- [33. Prescriptions – Maintain Records](#)
- [36. Restrictions on Advertisements](#)
- [38. Continuing Education](#)

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- ~~1-16. Standard Conditions~~

**If Warranted:**

- ~~22. Worksite Monitor~~
- ~~24. Remedial Education~~
- ~~25. Suspension~~
- ~~26. Employment Limitations~~
- ~~38. Continuing Education~~

**Commented [SR126]:** Discuss CE audit condition.

**Commented [KC127]:** Changed to mirror False Representation of Fact as the violations are similar and frequently charged together

**Prescribing, Furnishing, or Administering Drugs without Good Faith Examination (B&P Code sec. [3110 \(p\)](#))**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- [1-16. Standard Conditions](#)
- ~~24. Remedial Education~~
- [25. Suspension](#)
- [33. Prescriptions – Maintain Records](#)
- [38. Continuing Education](#)

**If Warranted:**

- [22. Worksite Monitor](#)
- [23. Direct Supervision](#)
- [24. Remedial Education](#)
- [26. Employment Limitations](#)
- [34. Restricted Practice](#)
- [37. Take and Pass NBEO Exams](#)
- ~~38. Continuing Education~~
- [39. Medical Record Keeping Course](#)

**Commented [KC128]:** This is a cumbersome term that is not appropriate as a requirement for this violation.

**Commented [KC129]:** Provides opportunity to review and verify prescriptions

**Commented [KC130]:** Moved to “required” to replace remedial education in providing the opportunity to increase knowledge base

**Commented [KC131]:** Allows limitations on employment settings when appropriate

**Commented [KC132]:** Allows limitations on specific procedures when appropriate

**Commented [KC133]:** Provides opportunity to verify clinical skills

**Failure to Maintain Adequate Records (B&P Code sec. [3110 \(q\)](#))**

**Maximum Discipline:** Revocation and Cost Recovery

**Minimum Discipline:** Stayed Revocation, 3-5 years probation

**Required:**

- 1-16. Standard Conditions
- [33. Prescriptions – Maintain Records](#)
- 39. Medical Record Keeping Course

**If Warranted:**

- 22. Worksite Monitor
- 24. Remedial Education
- 25. Suspension
- [26. Employment Limitations](#)
- 32. Audit Required
- [34. Restricted Practice](#)
- 38. Continuing Education

**Altering or Using Altered License** (B&P Code sec. [3110 \(v\)](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

- 1-16. Standard Conditions
- 22. Worksite Monitor
- 25. Suspension

**If Warranted**

- [26. Employment Limitations](#)
- [34. Restricted Practice](#)
- 38. Continuing Education

**Professional Services Beyond the Scope of the License** (B&P Code sec. [3110 \(r\)](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

- 1-16. Standard Conditions

**If Warranted:**

- 22. Worksite Monitor
- [23. Direct Supervision](#)
- 24. Remedial Education
- 25. Suspension
- 26. Employment Limitations
- [34. Restricted Practice](#)
- [37. Take and Pass NBEO Exams](#)
- 38. Continuing Education

**Failure to Comply with Patient Records Request** (B&P Code sec. [3110 \(x\)](#))**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

- 1-16. Standard Conditions
- 39. Medical Record Keeping Course

**If Warranted:**

- 24. Remedial Education
- 38. Continuing Education

**Use of Fraudulently issued, counterfeited, etc., Certificate** (B&P Code [3107](#))**Maximum Discipline:** Denial or Revocation**Minimum Discipline:** Denial or Revocation**Maximum Discipline:** Revocation and Cost Recovery**Minimum Discipline:** Stayed Revocation, 3-5 years probation**Required:**

- 1-16. Standard Conditions

**Commented [KC134]:** Provides opportunity to review prescriptions**Commented [KC135]:** Allows limitations on employment settings when appropriate**Commented [KC136]:** Allows limitations on specific procedures when appropriate**Commented [KC137]:** Allows limitations on employment settings when appropriate**Commented [KC138]:** Allows limitations on specific procedures when appropriate**Commented [KC139]:** Provides direct supervision of probationer's practice**Commented [KC140]:** Allows limitations on specific procedures when appropriate**Commented [KC141]:** Requires probationer to prove clinical skills

**If Warranted:**

- ~~22. Worksite Monitor~~
- ~~24. Remedial Education~~
- ~~25. Suspension~~
- ~~26. Employment Limitations~~
- ~~38. Continuing Education~~

CE Audit Failure (B& P Code 3106, 3110(a), 3110(e))

**Maximum Discipline:** Revocation

**Minimum Discipline:** Suspension until CE Compliance verified

**Required:**

1-16 Standard Terms

38. Continuing Education

**If Warranted:**

**Commented [KC142]:** Given the severity of the violation, we did not feel probation terms were appropriate