The purpose of these standards is to protect the public of Washington State. These standards are a nonbinding framework used as a resource by reviewing commission members, charging panels, and attorneys when sanctioning advanced registered nurse practitioners (ARNPs). The methodology applies Just Culture to the violations and associated conditions.

**Abbreviations and Definition of Charges and Conditions**

- **SOA**: Statement of Allegations
- **SOC**: Statement of Charges
- **RCM**: Reviewing Commission Member
- **Developing a pattern**: May include, but not limited to, several incidents of a failure to assess, diagnosis, treat, or prescribe/dispense appropriately
- **Established pattern**: May include, but not limited to, previous violations or a large number of instances of failures to assess, diagnosis, treat, or prescribe/dispense appropriately
- **Single significant error**: Violation descriptions related to the registered nurse and licensed practical nurse sanctioning standards. The conditions associated with this violation are more substantial than the conditions associated with a single occurrence and thus provides the RCM more discretion as the violation, aggravating, and mitigating circumstances warrant
- **Successfully complete coursework approved by the NCQAC**: The RCM will work with the Discipline Unit staff to determine the available and appropriate remedial coursework content required for meeting the sanction requirements. The course work will be selected based upon the remedial education (content areas) required by the respondent. The Discipline Unit staff will maintain a list and provide to the respondent remedial course(s). The respondent is responsible to pay for the remedial course work registration including travel and accommodations, if necessary, to complete the condition.
Practice Evaluation

The respondent shall submit to a thorough practice review by an evaluator approved in advance by the Nursing Care Quality Assurance Commission (NCQAC):

- The evaluator shall be a licensed ARNP or physician in Washington State with at least ten years of experience in the specific field of practice. The evaluator shall not have open disciplinary complaints or be subject to disciplinary action. The evaluation shall include, but not be limited to, oral exchanges with the respondent to thoroughly review the respondent’s knowledge and observations of patient assessments, plans, and interventions. The respondent shall provide a copy of the order to the evaluator prior to the evaluation process.

- The respondent shall cause the evaluator to submit a written evaluation report of the practice review to NCQAC within sixty days of the effective date of the order or within thirty days of the resumption of active practice (if not currently in active practice). The evaluation report shall include any and all recommendations for the correction or improvement of the respondent’s practice and skills, and shall have attached all documents related to the practice review, including correspondence regarding the practice review between the respondent and the evaluator.

Preceptor

The respondent shall engage the services of a preceptor who shall be licensed as an ARNP or physician currently licensed in Washington State and approved in advance by the NCQAC within sixty days of the effective date of the order, or within sixty days of the resumption of active practice (if not currently in active practice). The respondent shall consult with the preceptor to review cases of current patients. The role of the preceptor is to provide oversight to ensure that patients meet the restrictions of “seeing certain types of patients” condition; to ensure the proper level of skill and judgment is being exercised in all cases; and to provide written reports to the NCQAC concerning compliance with the order including recommendations contained in the practice evaluation report. A back-up practice monitor (who meets the provisions of this section) shall serve as substitute in the event the approved preceptor is temporarily unavailable. The respondent shall provide a copy of the order to the preceptor prior to entering into a practice monitor agreement. The written agreement shall be filed with the NCQAC within seven business days of its execution.

Random Practice Reviews and Record Audits

NCQAC investigators may conduct random practice reviews at the practice site of the respondent to perform record audits and interview colleagues, patients, and staff. Investigators will provide data obtained during the review to the Discipline Unit and/or RCM for clinical review.

Cost Recovery Fines

*Rationale for reducing the standard cost recovery fine of $1,000 to $500 – the remedial coursework can be costly and the respondent may likely have to travel out-of-state to take the course(s), adding to the total cost associated with the condition.

**Rationale for omitting the standard cost recovery fine of $1,000 – the competence assessment and educational intervention courses are costly and require the respondent to travel out-of-state
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Failure to Assess</td>
<td>Likely Cause(s) of Error</td>
<td>No, minimal, or low risk of harm</td>
<td>Close Case</td>
<td>NA</td>
<td>Cost recovery up to $500 per violation*</td>
<td>1. Successfully complete course on medical record keeping approved by NCQAC 2. Submit course evaluation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td>Single occurrence of failure to document assessment</td>
<td>Lack of time management skill and/or organizational ability</td>
<td>SOA</td>
<td>0-3 years</td>
<td></td>
<td>1. 90 days 2. 120 days</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Failure to Assess</td>
<td>Likely Cause(s) of Error</td>
<td>(A) No, minimal, or low risk of patient harm</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>Cost recovery of up to $500 per violation*</td>
<td>1. Successfully complete course work approved by NCQAC 2. Submit course evaluation for approval 3. Commission approval of current and future employment 4. Restrictions on seeing certain types of patients 5. Practice evaluation 6. Submission of written practice evaluation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td>Single occurrence of failure to assess or intervene on the patient’s behalf</td>
<td>Lack of competence</td>
<td>SOA/SOC</td>
<td>2-5 years</td>
<td></td>
<td>2. 120 days 3. Duration of sanction 4. Duration of sanction 5. 30 days 6. 60 days</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Failure to Assess</td>
<td>Likely Cause(s) of Error</td>
<td>(B) Patient harm or risk of severe harm</td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td></td>
<td>7. Suspension of license. If suspended, remedial training would be required prior to reinstatement</td>
<td>7. RCM discretion</td>
</tr>
<tr>
<td>Error(s)</td>
<td>Failure to examine patient and establish diagnosis by history, physical examination, and other methods of assessment</td>
<td>(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 of the 4 following</td>
<td>Missing assessment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inappropriate or inaccurate assessment or examination</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Lack of recognition of changing condition</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Failure to document appropriate assessment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inappropriate clinical judgment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>--------------------------</td>
<td>------------------------------------</td>
<td>-------------</td>
<td>--------</td>
<td>----------------------</td>
<td>----------------------</td>
<td>------------</td>
<td>--------------------</td>
</tr>
</tbody>
</table>
| Developing pattern of failure to assess or intervene on the patient’s behalf | Likely Cause(s) of Error  
- Failure to examine patient and establish diagnoses by history, physical examination, and other methods of assessment  
- Error(s)  
- Incomplete patient assessment  
- Lack of competence  
- Lack of knowledge  
- Lack of time management skill and/or organizational ability  
- Inappropriate clinical judgment  
- Disregard for patient safety and well-being  
- 2 to 4 of the following  
- Missing assessment  
- Inappropriate or inaccurate assessment or examination  
- Lack of recognition of changing condition  
- Failure to document appropriate assessment | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | SOA/SOC | 0-3 years | Cost recovery of up to $500 per violation* | 1. Successfully complete course work approved by NCQAC  
2. Submit course evaluation for approval  
3. Practice evaluation  
4. Submission of written practice evaluation  
5. Identify a preceptor  
7. Commission approval of current and future employment  
8. Restrictions on seeing certain types of patients  
9. Random practice reviews and record audits  
10. Probation  
OR  
11. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days  
2. 120 days  
3. 30 days  
4. 60 days  
5. 30 days  
6. Duration of sanction  
7. Duration of sanction  
8. Duration of sanction  
9. Duration of sanction  
10. Duration of sanction  
11. RCM discretion |
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
</table>
| Established pattern of failure to assess or intervene on the patient’s behalf | **Likely Cause(s) of Error**  
- Failure to examine patient and establish diagnoses  
- Incomplete patient assessment  
- Lack of competence  
- Lack of knowledge  
- Lack of time management skill and/or organizational ability  
- Inappropriate clinical judgment  
- Disregard for patient safety and well-being | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | SOA/SOC | 0-3 years | Cost recovery of up to $500 per violation$ | 1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation  
2. Comply with competence assessment and educational intervention plan  
3. Commission approval of current and future employment  
4. Restrictions on seeing certain types of patients  
5. Random practice reviews and record audits  
6. Probation OR  
7. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days |
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single significant assessment error or to intervene on the patient's behalf</td>
<td>Likely Cause(s) of Error - Incomplete patient assessment - Lack of competence - Lack of knowledge - Lack of time management skill and/or organizational ability - Inappropriate clinical judgment - Disregard for patient safety and well-being</td>
<td>(A) No, minimal, or low risk of patient harm (B) Patient harm or risk of severe harm (C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>No cost recovery</td>
<td>1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation 2. Comply with assessment and educational intervention education plan 3. Commission approval of current and future employment 4. Restrictions on seeing certain types of patients 5. Random practice reviews and record audits 6. Probation OR 7. Suspension of license. If suspended, remedial training would be required prior to reinstatement</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SOA/SOC</td>
<td>2-5 years</td>
<td></td>
<td></td>
<td>2. Duration of education plan 3. Duration of sanction 4. Duration of sanction 5. Duration of sanction 6. Duration of sanction 7. RCM discretion</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single occurrence of failure to document diagnosis</td>
<td>Likely Cause(s) of Error - Lack of time management skill and/or organizational</td>
<td>No, minimal, or low risk of patient harm</td>
<td>Close Case SOA</td>
<td>NA</td>
<td>Cost recovery of up to $500 per violation*</td>
<td>1. Successfully complete a course on medical record keeping, approved by NCQAC 2. Submit course evaluation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0-3 years</td>
<td></td>
<td></td>
<td>2. 120 days</td>
</tr>
</tbody>
</table>
### Description of Violation

**Single occurrence failure to diagnose**

**Error(s)**
- Failure to order, collect, perform, and interpret diagnostic tests

**1 of the 4 following**
- Missing diagnosis
- Inappropriate or inaccurate diagnosis
- Lack of recognition of changing condition
- Failure to document rationale for diagnosis

### Aggravating and Mitigating Factors

**Likely Cause(s) of Error**
- Incomplete or inaccurate patient assessment
- Lack of competence
- Lack of knowledge
- Lack of time management skill and/or organizational ability
- Inappropriate clinical judgment
- Disregard for patient safety and well-being

### Harm (Tier)

| (A) | No, minimal, or low risk of patient harm |
| (B) | Patient harm or risk of severe harm |
| (C) | Severe harm or death |

### Charge

<table>
<thead>
<tr>
<th>SOA/SOC</th>
</tr>
</thead>
</table>

### Duration of Sanction

| 0-3 years |
| 2-5 years |
| 3 years minimum |

### Recovery Cost or Fine

| Cost recovery of up to $500 per violation |

### Conditions

1. Successfully complete course work approved by NCQAC
2. Submit course evaluation for approval
3. Commission approval of current and future employment
4. Restrictions on seeing certain types of patients
5. Practice evaluation
6. Submission of written practice evaluation
7. Random practice reviews and record audits

**OR**

8. Suspension of license. If suspended, remedial training would be required prior to reinstatement

### Time for Completion

<p>| 90 days |
| 120 days |
| Duration of sanction |
| Duration of sanction unless modified |
| RCM discretion |</p>
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing pattern of failure to accurately diagnose Error(s) Failure to order, collect, perform, and interpret diagnostic tests 2 to 4 of the following  - Missing diagnosis  - Inappropriate or inaccurate diagnosis  - Lack of recognition of changing condition  - Failure to document rationale for diagnosis</td>
<td>Likely Cause(s) of Error  - Incomplete or inaccurate patient assessment  - Lack of competence  - Lack of knowledge  - Lack of time management skill and/or organizational ability  - Inappropriate clinical judgment  - Disregard for patient safety and well-being</td>
<td>(A) No, minimal, or low risk of patient harm  (B) Patient harm or risk of severe harm  (C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>Cost recovery of up to $500 per violation*</td>
<td>1. Successfully complete a course approved by NCQAC  2. Submit course evaluation for approval  3. Identify a preceptor  4. Meet with preceptor twice a month and review 10% of charts  5. Preceptor submit quarterly performance evaluations  6. Commission approval of current and future employment  7. Restrictions on seeing certain types of patients  8. Random practice reviews an record audits  9. Probation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. 120 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. 30 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10. RCM discretion</td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
<td>---------------</td>
<td>----------------------</td>
<td>------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>Developing pattern of failure to accurately diagnose</td>
<td>Likely Cause(s) of Error&lt;br&gt;- Incomplete or inaccurate patient assessment&lt;br&gt;- Lack of competence&lt;br&gt;- Lack of knowledge&lt;br&gt;- Lack of time management skill and/or organizational ability&lt;br&gt;- Inappropriate clinical judgment&lt;br&gt;- Disregard for patient safety and well-being</td>
<td>(A) No, minimal, or low risk of patient harm&lt;br&gt;(B) Patient harm or risk of severe harm&lt;br&gt;(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>No cost recovery</td>
<td>1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td>Error(s) Failure to order, collect, perform, and interpret diagnostic tests</td>
<td>2 to 4 of the following&lt;br&gt;- Missing diagnosis&lt;br&gt;- Inappropriate or inaccurate diagnosis&lt;br&gt;- Lack of recognition of changing condition&lt;br&gt;- Failure to document rationale for diagnosis</td>
<td></td>
<td>SOA/SOC</td>
<td>2-5 years</td>
<td></td>
<td>2. Comply with competence assessment and educational intervention plan</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td></td>
<td>3. Commission approval of current and future employment</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Restrictions on seeing certain types of patients</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Random practice reviews and record audits</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Probation</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>OR</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Suspension of license. If suspended, remedial training would be required prior to reinstatement</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A27.11 Attachment B ARNP (Revised 3-11-16)
Page 9 of 19
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
</table>
| Single significant diagnosis error           | • Incomplete or inaccurate patient assessment  
• Lack of competence  
• Lack of knowledge  
• Lack of time management skill and/or organizational ability  
• Inappropriate clinical judgment  
• Disregard for patient safety and well-being | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | SOA/SOC | 0-3 years | No cost recovery**  | 1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation  
2. Comply with competence assessment and educational intervention plan  
3. Commission approval of current and future employment  
4. Restrictions on seeing certain types of patients  
5. Random practice reviews and record audits  
6. Probation  
OR  
7. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 90 days  
2. Duration of education plan  
3. Duration of sanction  
4. Duration of sanction  
5. Duration of sanction  
6. Duration of sanction  
7. RCM discretion |
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Failure to treat (not pertaining to prescriptive and/or dispensing authority)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single occurrence of failure to document treatment</td>
<td>Lack of time management skill and/or organizational ability</td>
<td>(A) No, minimal, or low risk of patient harm</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>Cost recover of up to $500 per violation*</td>
<td>1. Successfully complete course work, approved by NCQAC</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td>Lack of knowledge of appropriate scope of practice</td>
<td>(B) Patient harm or risk of severe harm</td>
<td>SOA/SOC</td>
<td>2-5 years</td>
<td>2. Submit course evaluation for approval</td>
<td>2. 120 days</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inadequate or inaccurate patient assessment</td>
<td>(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td>3. Commission approval of current and future employment</td>
<td>3. Duration of sanction</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Lack of competence (e.g. practicing outside the scope of practice)</td>
<td></td>
<td></td>
<td></td>
<td>4. Restrictions on seeing certain types of patients</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inappropriate clinical judgment</td>
<td></td>
<td></td>
<td></td>
<td>5. Practice evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Error(s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Submission of written practice evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Failure to identify, develop, document, implement, and evaluate plan of care</td>
<td></td>
<td></td>
<td></td>
<td>7. Restriction on performing certain procedures</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Failure to document and/or provide rationale for therapies according to the standard of care</td>
<td></td>
<td></td>
<td></td>
<td>8. Random practice reviews and record audits</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Failure to monitor the effects of therapies</td>
<td></td>
<td></td>
<td></td>
<td>OR</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inappropriate ordering of laboratory studies</td>
<td></td>
<td></td>
<td></td>
<td>9. Suspension of license. If suspended remedial training would be required prior to reinstatement</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inappropriate responding to laboratory results</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Failure to perform procedures or provide services within scope of practice</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

OR

1. Suspension of license. If suspended remedial training would be required prior to reinstatement
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing pattern of failure to treat</td>
<td><strong>Likely Cause(s) of Error</strong> &lt;br&gt;• Lack of knowledge of appropriate scope of practice &lt;br&gt;• Inadequate or inaccurate patient assessment &lt;br&gt;• Lack of competence (e.g. practicing outside the scope of practice) &lt;br&gt;• Lack of knowledge or competence of safe treatment standards &lt;br&gt;• Lack of time management skill and/or organizational ability &lt;br&gt;• Inappropriate clinical judgment &lt;br&gt;• Disregard for patient safety and wellbeing</td>
<td>(A) No, minimal, or low risk of patient harm &lt;br&gt;(B) Patient harm or risk of severe harm &lt;br&gt;(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>Cost recover of up to $500 per violation*</td>
<td>1. Successfully complete course work, approved by NCQAC &lt;br&gt;2. Submit course evaluation for approval &lt;br&gt;3. Practice evaluation &lt;br&gt;4. Submission of written practice evaluation &lt;br&gt;5. Identify a preceptor &lt;br&gt;6. Meet with preceptor twice a month and review 10% of charts; preceptor submit quarterly performance evaluations &lt;br&gt;7. Commission approval of current and future employment &lt;br&gt;8. Restrictions on seeing certain types of patients &lt;br&gt;9. Restriction on performing certain procedures &lt;br&gt;10. Random practice reviews and record audits &lt;br&gt;11. Probation &lt;br&gt;<strong>OR</strong> &lt;br&gt;12. Suspension of license. If suspended remedial training would be required prior to reinstatement</td>
<td>1. 90 days &lt;br&gt;2. 120 days &lt;br&gt;3. 30 days &lt;br&gt;4. 60 days &lt;br&gt;5. 30 days &lt;br&gt;6. Duration of sanction &lt;br&gt;7. Duration of sanction &lt;br&gt;8. Duration of sanction &lt;br&gt;9. Duration of sanction &lt;br&gt;10. Duration of sanction &lt;br&gt;11. Duration of sanction &lt;br&gt;12. RCM discretion</td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-----------------------------------</td>
<td>------------</td>
<td>--------</td>
<td>---------------------</td>
<td>----------------------</td>
<td>------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>Single significant treatment error</td>
<td>Likely Cause(s) of Error</td>
<td>(A) No, minimal, or low risk of patient harm</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>No cost recovery*</td>
<td>1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(B) Patient harm or risk of severe harm</td>
<td>SOA/SOC</td>
<td>2-5 years</td>
<td></td>
<td>2. Comply with and competence assessment and educational intervention plan</td>
<td>2. Duration of education plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td></td>
<td>3. Commission approval of current and future employment</td>
<td>3. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Restrictions on seeing certain types of patients</td>
<td>4. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Restriction on performing certain procedures</td>
<td>5. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Random practice reviews and record audits</td>
<td>6. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Probation</td>
<td>7. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Suspension of license. If suspended remedial training would be required prior to reinstatement</td>
<td>8. RCM discretion</td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>--------------------------</td>
<td>------------------------------------</td>
<td>-------------</td>
<td>--------</td>
<td>----------------------</td>
<td>----------------------</td>
<td>------------</td>
<td>---------------------</td>
</tr>
</tbody>
</table>
| Prescriptive and/or Dispensing Authority Single occurrence of violations of prescriptive and/or dispensing authority | • Prescribing, dispensing, administering, or distributing drugs in an unsafe manner or without adequate instructions to patients according to acceptable and prevailing standards  
• Prescribing, dispensing, administering, or distributing drugs for other than therapeutic or prophylactic purposes  
• Prescribing or distributing drugs to individuals who are not patients of the ARNP or who are not within the ARNPs role and population focus  

Likely Cause(s) of Error |  
• Lack of knowledge of appropriate scope of practice  
• Inadequate or inaccurate patient assessment  
• Lack of competence (e.g. practicing outside the scope of practice)  
• Lack of knowledge or competence of safe treatment standards  
• Lack of time management skill and/or organizational ability  
• Inappropriate clinical judgment | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | Close Case SOA  
SOA/SOC | NA  
3 years  
3 years minimum | Cost recovery up to $500 per violation* | 1. Successfully complete course work, approved by NCQAC  
2. Submit course evaluation for approval  
3. Commission approval of current and future employment  
4. Restrictions on seeing certain types of patients  
5. Practice evaluation  
6. Submission of written practice evaluation  

OR |  
7. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days  
2. 120 days  
3. Duration of sanction  
4. Duration of sanction  
5. 30 days  
6. 60 days  

7. RCM discretion
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing a pattern of violations of prescriptive and/or dispensing authority</td>
<td>Likely Cause(s) of Error</td>
<td>(A) No, minimal, or low risk of patient harm (B) Patient harm or risk of severe harm (C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>Cost recovery up to $500 per violation*</td>
<td>1. Successfully complete course work, approved by NCQAC 2. Submit course evaluation for approval 3. Practice evaluation 4. Submission of written practice evaluation 5. Identify a preceptor 6. Meet with preceptor twice a month and review 10% of charts; preceptor submit quarterly performance evaluations 7. Commission approval of current and future employment 8. Restrictions on seeing certain types of patients 9. Restrictions on performing certain procedures 10. Random practice reviews and audits 11. Limiting prescriptive authority 12. Obtain and account with PNP, use PNP in practice and mandated to run and documented medication profile on every patient 13. Probation 14. Suspension of license. If suspended, remedial training would be required prior to reinstatement</td>
<td>1. 90 days</td>
</tr>
<tr>
<td>Single occurrence of violations of prescriptive and/or dispensing authority</td>
<td>• Prescribing, dispensing, administering, or distributing drugs in an unsafe manner or without adequate instructions to patients according to acceptable and prevailing standards • Prescribing, dispensing, administering, or distributing drugs for purposes other than therapeutic or prophylactic purposes • Prescribing or distributing drugs to individuals who are not patients of the ARNP or who are not within the ARNP's role and population focus</td>
<td></td>
<td>SOA/SOC</td>
<td>3-5 years</td>
<td></td>
<td>2. 120 days</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>(A) No, minimal, or low risk of patient harm (B) Patient harm or risk of severe harm (C) Severe harm or death</td>
<td></td>
<td>3 years minimum</td>
<td>3. 30 days</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. 60 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. 30 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11. RCM discretion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12. RCM discretion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>13. Duration of sanction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>14. RCM discretion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-----------------------------------</td>
<td>------------</td>
<td>--------</td>
<td>----------------------</td>
<td>----------------------</td>
<td>------------</td>
<td>---------------------</td>
</tr>
</tbody>
</table>
| Established pattern of violations of prescriptive and/or dispensing authority | Likely Cause(s) of Error  
• Lack of knowledge of appropriate scope of practice  
• Inadequate or inaccurate patient assessment  
• Lack of competence (e.g. practicing outside the scope of practice)  
• Lack of knowledge or competence of safe treatment standards  
• Lack of time management skill and/or organizational ability  
• Inappropriate clinical judgment  
• Disregard for patient safety and wellbeing | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | SOA/SOC | 0-3 years | No cost recovery** | 1. Attend competence assessment and educational intervention course (at own expense) to assess knowledge, clinical judgment, communication, and documentation  
2. Comply with competence assessment and educational intervention plan  
3. Commission approval of current and future employment  
4. Restrictions on seeing certain types of patients  
5. Restrictions on performing certain procedures  
6. Random practice reviews and audits  
7. Limiting prescriptive authority  
8. Obtain and account with PNP, use PNP in practice and mandated to run and document medication profile on every patient  
9. Probation  
OR  
10. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days  
2. Duration of education plan  
3. Duration of sanction  
4. Duration of sanction  
5. Duration of sanction  
6. Duration of sanction  
7. RCM discretion  
8. RCM discretion  
9. Duration of sanction  
10. RCM discretion |
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single significant error of violations of prescriptive and/or dispensing authority</td>
<td><strong>Likely Cause(s) of Error</strong>&lt;br&gt;• Lack of knowledge of appropriate scope of practice&lt;br&gt;• Inadequate or inaccurate patient assessment&lt;br&gt;• Lack of competence (e.g. practicing outside the scope of practice)&lt;br&gt;• Lack of knowledge or competence of safe treatment standards&lt;br&gt;• Lack of time management skill and/or organizational ability&lt;br&gt;• Inappropriate clinical judgment&lt;br&gt;• Disregard for patient safety and wellbeing</td>
<td>(A) No, minimal, or low risk of patient harm&lt;br&gt;(B) Patient harm or risk of severe harm&lt;br&gt;(C) Severe harm or death</td>
<td>SOA/SOC</td>
<td>0-3 years</td>
<td>No cost recovery**</td>
<td>1. Attend competence assessment and educational intervention course course (at own expense) to assess knowledge, clinical judgment, communication, and documentation</td>
<td>1. 90 days</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SOA/SOC</td>
<td>3-5 years</td>
<td></td>
<td>2. Comply with competence assessment and educational intervention plan</td>
<td>2. Duration of education plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SOA/SOC</td>
<td>3 years minimum</td>
<td></td>
<td>3. Commission approval of current and future employment</td>
<td>3. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Restrictions on seeing certain types of patients</td>
<td>4. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Restrictions on performing certain procedures</td>
<td>5. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Random practice reviews and audits</td>
<td>6. Duration of sanction</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Limiting prescriptive authority</td>
<td>7. RCM discretion</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8. Obtain and account with PNP, use PNP in practice and mandated to run and document medication profile on every patient</td>
<td>8. RCM discretion</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>OR</strong></td>
<td>RCM discretion</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10. Suspension of license. If suspended, remedial training would be required prior to reinstatement</td>
<td></td>
</tr>
<tr>
<td>Description of Violation</td>
<td>Aggravating and Mitigating Factors</td>
<td>Harm (Tier)</td>
<td>Charge</td>
<td>Duration of Sanction</td>
<td>Recovery Cost or Fine</td>
<td>Conditions</td>
<td>Time for Completion</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-----------------------------------</td>
<td>------------</td>
<td>--------</td>
<td>----------------------</td>
<td>-----------------------</td>
<td>------------</td>
<td>---------------------</td>
</tr>
</tbody>
</table>
| Falsification of Records Deliberate changing or falsification of documentation | Likely Cause(s) of Error | - Documenting care not provided  
- Charting incorrect patient condition  
- Charting to cover up error or omission | (A) No, minimal, or low risk of patient harm  
(B) Patient harm or risk of severe harm  
(C) Severe harm or death | SOA/SOC | 0-3 years | Cost recovery of up to $500 per violation* | 1. Successfully complete a course on medical record keeping and a course on medical ethics, boundaries, and professionalism, approved by NCQAC  
2. Submit course evaluation for approval  
3. Practice evaluation  
4. Submission of written practice evaluation  
5. Identify a preceptor  
6. Meet with preceptor twice a month and review 10% of charts; preceptor submit quarterly performance evaluations  
7. Commission approval of current and future employment  
8. Restrictions on seeing certain types of patients  
9. Restrictions on performing certain procedures  
10. Random practice reviews and record audits  
11. Probation  
OR  
12. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 12. RCM discretion |
| Failure to comply with any term(s) or conditions of a STID or order | | | SOC | Suspension | Fine of up to $1,000 per violation | 1. Suspension of license | 1. 90 days  
2. 120 days  
3. 30 days  
4. 60 days  
5. 30 days  
6. Duration of sanction  
7. Duration of sanction  
8. Duration of sanction  
9. Duration of sanction  
10. Duration of sanction  
11. Duration of sanction  
12. RCM discretion |
<table>
<thead>
<tr>
<th>Description of Violation</th>
<th>Aggravating and Mitigating Factors</th>
<th>Harm (Tier)</th>
<th>Charge</th>
<th>Duration of Sanction</th>
<th>Recovery Cost or Fine</th>
<th>Conditions</th>
<th>Time for Completion</th>
</tr>
</thead>
</table>
| Practice on an Expired License (Having renewed as soon as possible after learning of the expiration) | Likely Cause(s) of Error  
- Failure to have current national certification required for state licensure  
  WAC 246-840-302  
- Failure to renew state license based upon not having a current national certification  
  - If evidence of an attempt to be fraudulent regarding working without a license  
  - Prior similar violation  
  - Patient harm or another serious violation occurred during the period of expiration | Close case SOA | NA | | Cost recovery of up to $1,000* | 1. Successfully complete a course on medical ethics, and professionalism, approved by NCQAC  
2. Commission approval of current and future employment  
OR  
3. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days  
2. Duration of sanction  
3. RCM discretion |
| | | SOC | 0-3 years | | Cost recovery of up to $1,000* | 1. Successfully complete a course on medical ethics, and professionalism, approved by NCQAC  
2. Commission approval of current and future employment  
OR  
3. Suspension of license. If suspended, remedial training would be required prior to reinstatement | 1. 90 days  
2. Duration of sanction  
3. RCM discretion |

* Note: The dollar amount is subject to change based on inflation.