



Dental Hygiene Board of California Dental Hygiene Educational Program Violation and Fine Rubric



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DHBC DHEP Violation and Fine Rubric

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I. Abbreviations	
AED	Automated External Defibrillator
BLS	Basic Life Support
BPC	Business and Professions Code
CFR	Code of Federal Regulations
CCR	California Code of Regulations
CODA	Commission on Dental Accreditation of the American Dental Association
DHBC	Dental Hygiene Board of California
DHCP	Dental Healthcare Personnel
DHEP	Dental Hygiene Educational Program
EDC	Education Code
EMS	Emergency Medical Services (Response)
HIPAA	Health Insurance Portability and Accountability Act of 1996
HSC	Health and Safety Code
§(§§)	Section(s)

II. Penalty Level Definitions				
Penalty Level	Criteria/Triggers	Legal Authority	Board Actions	Follow-Up Requirements
 Severe	<ul style="list-style-type: none"> Major threat to patient, student, faculty/staff safety, outcomes, or legal/ethical compliance Violation of DHBC approval standards and public safety codes Repeated deficiencies Delays to resolving deficiencies 	<p style="text-align: center;"> BPC §§1900 – 1967.4 16 CCR §§1000 – 1144 (Esp. BPC §1941.5 and 16 CCR §1104.3) </p>	<ul style="list-style-type: none"> Program placed on probation Increased reporting and monitoring Required site visit Possible revocation of approval Referral to BPPE, CODA, or other Board recognized accreditation agency Noncompliance shall result in citations and/or fines 	<ul style="list-style-type: none"> Immediate correction plan with evidence Site visit within 6–12 months Quarterly or special reporting

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II. Penalty Level Definitions				
Penalty Level	Criteria/Triggers	Legal Authority	Board Actions	Follow-Up Requirements
 Moderate	<ul style="list-style-type: none"> Deficiencies affecting program quality or student success but not posing immediate public harm Non-critical noncompliance with educational or operational standards Repeated deficiencies Delays to resolving deficiencies 	<p style="text-align: center;"> <u>BPC §§1900 – 1967.4</u> <u>16 CCR §§1000 – 1144</u> (Esp. <u>BPC §1941.5</u> and <u>16 CCR §1104.3</u>) </p>	<ul style="list-style-type: none"> Conditional approval Written warning Required progress report or corrective action plan Monitoring visit Noncompliance shall result in citations and/or fines 	<ul style="list-style-type: none"> Follow-up report within 4–6 weeks Documented improvements Mid-cycle review if needed
 Minimal	<ul style="list-style-type: none"> Minor administrative or procedural errors. Program remains in compliance Administrative/technical issues Repeated deficiencies Delays to resolving deficiencies 	<p style="text-align: center;"> <u>BPC §§1900 – 1967.4</u> <u>16 CCR §§1000 – 1144</u> (Esp. <u>BPC §1941.5</u> and <u>16 CCR §1104.3</u>) </p>	<ul style="list-style-type: none"> Advisory letter Required progress report or corrective action plan Noncompliance shall result in citations and/or fines 	<ul style="list-style-type: none"> Follow-up report within 4–6 weeks Documented improvements Mid-cycle review if needed

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III. Self-Study and Program Effectiveness			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Self Study	BPC §1941(a) §1941.5(a) 16 CCR §1104(b)(1) §1105(e) CODA 1-1	Moderate	
a. Failure to provide the CODA Self Study to the DHBC	BPC §1941(a) §1941.5(a) 16 CCR §1104(b)(1) §1105(e) CODA 1-1	Moderate	Due six (6) weeks prior to DHBC site visit
2. Program Effectiveness	BPC §1941(a) §1941.5(a) 16 CCR §1104(b)(1) §1105(e) CODA 1-1	Moderate	
a. Failure to include continuous program evaluation with outcome measures in self-study report	BPC §1941(a) §1941.5(a) 16 CCR §1104(b)(1) §1105(e) CODA 1-1	Moderate	Compliance within six (6) weeks

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IV. Institutional Accreditation/Approval, Financial Responsibility, Sponsoring Institution and DHEP Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Accreditation/Approval	BPC §1941(a) and (c) 16 CCR §1104(b)(5), (d), and (h) CODA 1-6	Moderate	Meet DHBC/CODA deadlines
a. DHEP lost Institutional accreditation	BPC §1941(c) 16 CCR §1104(b)(5) and (d) CODA 1-6	Severe	Meet accrediting body deadlines
b. DHEP lost CODA accreditation	BPC §1941(a) and (c) 16 CCR §1104(b)(5) CODA 1-6	Severe	Meet CODA deadlines
c. CODA designates DHEP status as “Approval with Reporting Requirements with Intent to Withdraw”	BPC §1941(a) and (c) 16 CCR §1104(b)(5) CODA 1-6	Severe	Meet CODA deadlines
d. CODA designates DHEP status as DHEP “Approval with Reporting Requirements”	BPC §1941(a) and (c) 16 CCR §1104(b)(5) CODA 1-6	Minimal to Moderate	Meet CODA deadlines
2. Financial Responsibility	BPC §1941(a) 16 CCR §1104(b)(5)	Moderate to Severe	Compliance within 12-18 weeks

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IV. Institutional Accreditation/Approval, Financial Responsibility, Sponsoring Institution and DHEP Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA 1-3		
a. Inability to demonstrate financial stability for educational continuity	BPC §1941(a) 16 CCR §1104(b)(5) CODA 1-3	Moderate to Severe	Compliance within 12-18 weeks
b. DHEP lacks budget input	BPC §1941(a) 16 CCR §1104(b)(5) CODA 1-3	Moderate	Compliance within 12-18 weeks
c. DHEP approved budget insufficient to run DHEP effectively	BPC §1941(a) 16 CCR §1104(b)(5) CODA 1-3	Moderate	Compliance within 12-18 weeks
3. Sponsoring Institution and DHEP Responsibilities	16 CCR §1104(b)(5) and (h) CODA 1-4, 1-5, 1-7, 1-8, 3-1	Moderate	Compliance within 6-18 weeks
a. DHEP lacks support of sponsoring institution	16 CCR §1104(b)(5) and (h) CODA 1-4, 1-5, 1-7, 1-8, 3-1	Moderate	Compliance within 12-18 weeks
b. Authority and final responsibility for curriculum development and approval, student	16 CCR §1104(b)(5) and (h) CODA	Moderate	Compliance within 6 weeks

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IV. Institutional Accreditation/Approval, Financial Responsibility, Sponsoring Institution and DHEP Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
selection, faculty selection and administrative matters does not rest within the sponsoring institution	1-4, 1-5, 1-7, 1-8, 3-1		
c. No documentation of program's authority under sponsoring institution	16 CCR §1104(b)(5) and (h) CODA 1-4, 1-5, 1-7, 1-8, 3-1	Moderate	Compliance within 6 weeks

V. Prerequisites/Admissions			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Prerequisites	16 CCR §1105(f)(1) CODA 2-8, 2-8a, 2-8b	Severe	Immediate: Prior to start of next academic session
a. DHEP lacks or fails to require DHBC/CODA Level prerequisites	16 CCR §1105(f)(1) CODA 2-8, 2-8a, 2-8b	Severe	Immediate: Prior to start of next academic session
b. DHEP Prerequisites not published or inconsistently applied	16 CCR §1105(f)(1) CODA 2-8, 2-8a, 2-8b	Moderate to Severe	Immediate: Prior to start of next academic session
2. Admissions	16 CCR §1105(f)(2) CODA 2-3, 2-4	Moderate to Severe	Immediate: Prior to start of next academic session

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a. DHEP lacks retention of complete admissions files	16 CCR §1105(f)(2) CODA 2-3, 2-4	Moderate	Immediate: Prior to start of next academic session
b. DHEP Students accepted without completing DHBC/CODA required prerequisites	16 CCR §1105(f)(2) CODA 2-3, 2-4	Moderate to Severe	Immediate: Prior to start of next academic session
c. DHEP admission requirements not published or inconsistently applied	16 CCR §1105(f)(2) CODA 2-3, 2-4	Moderate to Severe	Immediate: Prior to start of next academic session

VI. Mission Statement, Policies, and Procedures			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Mission Statement	16 CCR §1105(a)	Minimal	Prior to the start of the next academic session
a. DHEP lacks Mission Statement	16 CCR §1105(a)	Minimal	Prior to the start of the next academic session
b. Mission statement lacks alignment with program goals or regulatory expectations	16 CCR §1105(a)	Minimal	Prior to the start of the next academic session
2. General Policies and Procedures	16 CCR §1105(d)	Moderate	Prior to the start of the next academic session
a. DHEP lacks general Policies and Procedures	16 CCR §1105(d)	Moderate	Prior to the start of the next academic session
3. Learning Environment	16 CCR §1105(d) CODA 1-2	Moderate	Prior to the start of the next academic session
a. DHEP does not provide a supportive learning environment to students	16 CCR §1105(d) CODA 1-2	Moderate to Severe	Severe - Immediate Moderate - Compliance within 6 weeks
4. Academic Standards, Due Process, and Grievance Policy	16 CCR §1105(d) and (g) CODA	Moderate	Prior to the start of the next academic session

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VI. Mission Statement, Policies, and Procedures			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe, Moderate, Minimal)	Urgency/Timeline
	<u>2-2, 4-8</u>		
a. DHEP lacks Due Process and/or Grievance Policy	16 CCR <u>§1105(d) and (g)</u> CODA <u>2-2, 4-8</u>	Severe	Immediate
b. Due Process and/or Grievance Policy not provided to students	16 CCR <u>§1105(d) and (g)</u> CODA <u>2-2, 4-8</u>	Moderate	Compliance within 6 weeks
5. Syllabi Policy	16 CCR <u>§1105(d)</u> CODA <u>2-7</u>	Moderate	At initiation of course session
a. Syllabi not available in a timely manner	16 CCR <u>§1105(d)</u> CODA <u>2-7</u>	Moderate	At initiation of course session
b. Change in syllabi without sufficient notice to students	16 CCR <u>§1105(d)</u> CODA <u>2-7</u> 3 EDC 94898(b)	Moderate	Prior to the start of the next academic session
6. Patient Experiences Policy	16 CCR <u>§1105(d)</u> CODA <u>2-11</u>	Severe	Immediate
a. DHEP lacks Patient Experiences Policy	16 CCR <u>§1105(d)</u> CODA <u>2-11</u>	Severe	Immediate
7. Curriculum Management Plan	16 CCR <u>§1105(d)</u> CODA <u>2-24</u>	Moderate	Prior to the start of the next academic session
a. DHEP lacks Curriculum Management Plan	16 CCR <u>§1105(d)</u>	Moderate	Prior to the start of the next academic session

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VI. Mission Statement, Policies, and Procedures			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA <u>2-24</u>		
8. Patient Care Services/Patient Rights Policies	16 CCR <u>§1105(d)</u> CODA <u>6-1, 6-2, 6-4</u>	Moderate	Prior to the start of the next academic session
a. DHEP lacks comprehensive Treatment Plan Policy	16 CCR <u>§1105(d)</u> CODA <u>6-1, 6-2</u>	Moderate	Compliance within 6 weeks
b. DHEP lacks comprehensive Patient Care Quality Assurance Plan	16 CCR <u>§1105(d)</u> CODA <u>6-2</u>	Moderate	Compliance within 6 weeks
c. DHEP lacks a written statement of patients' rights	16 CCR <u>§1105(d)</u> CODA <u>6-4</u>	Moderate	Compliance within 6 weeks

VII. DHEP Instruction and DHEP Hours			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. DHEP Instruction	BPC <u>§1941(c)</u> 16 CCR <u>§1105(b)(1)-(3)</u> CODA <u>2-1</u>	Moderate	Prior to the start of the next academic session
a. Course depth of instruction does not meet the test of a true university discipline	BPC <u>§1941(c)</u> 16 CCR <u>§1105(b)(1)-(3)</u> CODA	Moderate	Prior to the start of the next academic session

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VII. DHEP Instruction and DHEP Hours			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	<u>2-1</u>		
b. Clinical practice not distributed throughout the curriculum	16 CCR <u>§1105(b)(1)-(3)</u> CODA <u>2-1</u>	Moderate	Prior to the start of the next academic session
c. DHEP lacks DHEP completion records	16 CCR <u>§1105(b)(1)-(3)</u> CODA <u>2-1</u>	Severe	Evidence of before program completion
2. DHEP Hours	16 CCR <u>§1105(b)(1)-(3)</u> CODA <u>2-1</u>	Severe	Evidence of before program completion
a. Educational DHEP does not demonstrate two academic years of full-time instruction at the postsecondary college level or its equivalent and consists of a minimum of 1600 clock hours	16 CCR <u>§1105(b)(1)-(3)</u> CODA <u>2-1</u>	Severe	Prior to the start of the next academic session

VIII. Required DHEP Curriculum			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Required DHEP Curriculum	16 CCR <u>§1105.2(a)-(d)(1-2)</u> CODA <u>2-8, 2-8a-d, 2-9</u>	Moderate	Prior to the start of the next academic session
a. DHEP lacks DHBC/CODA required DHEP curriculum	16 CCR <u>§1105.2(a)-(d)(1-2)</u>	Moderate	Prior to the start of the next academic session

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VIII. Required DHEP Curriculum			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA <u>2-8, 2-8a-d, 2-9</u>		

IX. Standards of Competency			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Competency Policy and Quantitative Criteria	16 CCR <u>§1105(c) and (d)</u> CODA <u>2-6, 2-11, 6-3</u>	Severe	Prior to the start of the next academic session
a. DHEP does not establish or define standards of competency for graduation from the DHEP	16 CCR <u>§1105(c) and (d)</u> CODA <u>2-6, 6-3</u>	Severe	Prior to the start of the next academic session
b. DHEP does not communicate standards of competency for graduation from the DHEP to students	16 CCR <u>§1105(c) and (d)</u> CODA <u>2-6, 6-3</u>	Severe	Prior to the start of the next academic session
c. DHEP does not have established mechanisms to ensure a sufficient number of patient experiences that afford all students the opportunity to achieve stated competencies.	16 CCR <u>§1105(c) and (d)</u> CODA <u>2-11</u>	Severe	Prior to the start of the next academic session
2. Competency Requirements	16 CCR <u>§1103(h), (i), and (j)</u> <u>§1105(c)</u> <u>§1105.2(b), (e), and (f)</u> CODA <u>2-11 through 2-23</u>	Severe	Prior to the start of the next academic session

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IX. Standards of Competency			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
a. Student competency requirements not clearly published or inconsistently applied	16 CCR §1105(c) §1105.2(b), (e), and (f) CODA 2-11 through 2-23	Severe	Prior to the start of the next academic session
b. Student(s) failed to complete all required competencies	16 CCR §1105(c) §1105.2(b), (e), and (f) CODA 2-11 through 2-23	Severe	Evidence of before program completion
c. DHEP does not include education in the dental hygiene process of care and/or define the competencies graduates are to possess at graduation	16 CCR §1105(c) §1105.2(b) CODA 2-13	Moderate to Severe	Prior to the start of the next academic session. Prior to program completion by the senior cohort or class.
d. DHEP does not provide for and student competency in patient experiences in all classifications of periodontal disease including mild, moderate, and severe involvement.	16 CCR §1105(c) §1105.2(e) CODA 2-14	Moderate to Severe	Prior to the start of the next academic session. Prior to program completion by the senior cohort or class.
e. DHEP does not provide for and student competency in providing patient experiences in dental hygiene care for the child, adolescent, adult, geriatric, and special needs patients	16 CCR §1105(c) §1105.2(f) CODA 2-12	Moderate to Severe	Prior to the start of the next academic session. Prior to program completion by the senior cohort or class.

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X. Faculty Ratios and Preclinical/Clinical Staffing, Preclinical/Clinical Hours, and Clinical Experiences			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Faculty/Student Ratios and Preclinical/Clinical Staffing	16 CCR §1105(b)(4) , (b)(5) , (i), and (k) CODA 3-5	Moderate	Prior to the start of the next academic session
a. DHEP fails to maintain faculty to student ratio	16 CCR §1105(b)(4) , (i), and (k) CODA 3-5	Moderate	Compliance within 6 weeks
b. DHEP fails to maintain sufficient faculty to provide sufficient support of the DHEP	16 CCR §1105(b)(4) , (b)(5) , (i), and (k) CODA 3-5	Moderate	Compliance within 6 weeks
c. DHEP does not provide dentist supervision for instruction involving procedures that require direct supervision	16 CCR §1105(b)(5) , (i), and (k) CODA 3-5	Moderate	Compliance within 6 weeks
2. Preclinical/Clinical Hours and Experiences	16 CCR §1105.2(d) CODA 2-10	Severe	Prior to the start of the next academic session. Prior to program completion by the senior cohort or class
a. DHEP fails to provide a sufficient number of hours of preclinical practice and direct patient care resulting in failure to ensure that students attain clinical competence and develop appropriate judgment.	16 CCR §1105.2(d) CODA 2-10	Severe	Prior to the start of the next academic session. Prior to program completion by the senior cohort or class

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XI. Instruction in Soft Tissue Curettage, Local Anesthesia, and Nitrous Oxide/Oxygen Analgesia (SLN)			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Instruction in SLN	16 CCR <u>§1105.2(d)(3),</u> <u>(d)(3)(b),</u> <u>(d)(3)(d), and</u> <u>(d)(3)(E)</u> <u>§1107</u> CODA <u>2-18</u>	Severe	Immediate
a. DHEP does not meet SLN didactic requirements	16 CCR <u>§1105.2(d)(3),</u> <u>(d)(3)(b),</u> <u>(d)(3)(d), and</u> <u>(d)(3)(E)</u> <u>§1107</u> CODA <u>2-18</u>	Severe	Immediate
b. DHEP does not meet SLN preclinical requirements	16 CCR <u>§1105.2(d)(3),</u> <u>(d)(3)(b),</u> <u>(d)(3)(d), and</u> <u>(d)(3)(E)</u> <u>§1107</u> CODA <u>2-18</u>	Severe	Immediate
c. DHEP does not meet SLN clinical requirements	16 CCR <u>§1105.2(d)(3),</u> <u>(d)(3)(b),</u> <u>(d)(3)(d), and</u> <u>(d)(3)(E)</u> <u>§1107</u> CODA <u>2-18</u>	Severe	Immediate
d. DHEP does not meet SLN equipment requirements	16 CCR <u>§1105.2(d)(3),</u> <u>(d)(3)(b), and</u> <u>(d)(3)(E)</u>	Severe	Immediate

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XI. Instruction in Soft Tissue Curettage, Local Anesthesia, and Nitrous Oxide/Oxygen Analgesia (SLN)			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	§1107 CODA 2-18		

XII. DHEP Director Qualifications, Responsibilities, and Authority			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. DHEP Director Appointment	16 CCR §1105.1(a) CODA 3-2	Moderate	Prior to the start of the next academic session
a. DHEP director lacks a full-time appointment	16 CCR §1105.1(a) CODA 3-2	Moderate	Prior to the start of the next academic session
2. DHEP Director Qualifications	16 CCR §1105.1(a) CODA 3-3, 3-6	Moderate to Severe	Prior to the start of the next academic session
a. DHEP director lacks DHBC qualification requirements	16 CCR §1105.1(a) CODA 3-3, 3-6	Moderate to Severe	Prior to the start of the next academic session
3. DHEP Director Assignment	16 CCR §1105(j) §1105.1(a) CODA 3-2, 3-3, 3-4	Moderate to Severe	Prior to the start of the next academic session
a. DHEP director lacks required administration time	16 CCR §1105(j) §1105.1(a) CODA	Moderate to Severe	Prior to the start of the next academic session

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XII. DHEP Director Qualifications, Responsibilities, and Authority			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	<u>3-2, 3-3, 3-4</u>		
4. DHEP Director Responsibilities	16 CCR <u>§1105(j)</u> <u>§1105.1(a)</u> CODA <u>3-2, 3-3, 3-4</u>	Moderate to Severe	Prior to the start of the next academic session
a. DHEP director does not have the primary responsibility for developing policies and procedures, planning, organizing, implementing and evaluating all aspects of the DHEP.	16 CCR <u>§1105(j)</u> <u>§1105.1(a)</u> CODA <u>3-2, 3-3, 3-4</u>	Moderate to Severe	Prior to the start of the next academic session
5. DHEP Director Authority	16 CCR <u>§1105(j)</u> <u>§1105.1(a)</u> CODA <u>3-2, 3-3, 3-4</u>	Moderate to Severe	Prior to the start of the next academic session
a. DHEP director does not have the authority and responsibility to administer the educational DHEP in accordance with DHBC statutes and regulations, and approved accreditation standards including, but not limited to, budget and fiscal administration	16 CCR <u>§1105(j)</u> <u>§1105.1(a)</u> CODA <u>3-2, 3-3, 3-4, 3-6</u>	Moderate to Severe	Prior to the start of the next academic session
6. DHEP Director Support	16 CCR <u>§1105(j)</u> <u>§1105.1(a)</u> CODA <u>3-6, 3-7, 3-8, 3-9</u>	Moderate	Prior to the start of the next academic session
a. Institution does not support opportunities for DHEP	16 CCR <u>§1105(j)</u>	Moderate	Prior to the start of the next academic session

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XII. DHEP Director Qualifications, Responsibilities, and Authority			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
director promotion, tenure, and professional development	§1105.1(a) CODA 3-6, 3-7, 3-8, 3-9		

XIII. DHEP Faculty Qualifications, Requirements, and Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. DHEP Faculty Appointment	16 CCR §1105(i), (k), and (l) §1105.1(b), (c) CODA 2-5, 3-6, 3-7, 3-8	Moderate	Prior to the start of the next academic session
a. DHEP Faculty lacks a full- or part-time appointment with the institution	16 CCR §1105(i), (k), and (l) §1105.1(b), (c) CODA 2-5, 3-6, 3-7, 3-8	Moderate	Prior to the start of the next academic session
2. DHEP Faculty Qualifications	16 CCR §1105(l) §1105.1(b), (c) CODA 2-5, 3-6, 3-7, 3-8	Moderate	Compliance within 4 weeks
a. DHEP Faculty lack DHBC qualification requirements	16 CCR §1105(l) §1105.1(b), (c) CODA 2-5, 3-6, 3-7, 3-8	Moderate	Compliance within 4 weeks
b. DHEP Faculty lack DHBC and DBC-approved mandatory courses for license renewal*	16 CCR §1016 §1105(l) §1105.1(b), (c)	Moderate to Severe	Compliance within 4 weeks. *Re: BLS/CPR – Faculty, supervising dentists, and

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XIII. DHEP Faculty Qualifications, Requirements, and Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA <u>2-5, 3-6, 3-7, 3-8</u>		support staff not to be in preclinic or clinic until BLS/CPR is current.
3. DHEP Faculty Responsibilities	16 CCR <u>§1105(i), (k), and (l)</u> <u>§1105.1(b), (c)</u> CODA <u>2-5, 3-6, 3-7, 3-8</u>	Moderate	Prior to the start of the next academic session
a. DHEP Faculty do not possess current knowledge of the specific subjects taught	16 CCR <u>§1105(i), (k), and (l)</u> <u>§1105.1(b), (c)</u> CODA <u>2-5, 3-6, 3-7, 3-8</u>	Moderate	Compliance within 6 weeks
4. DHEP Faculty Support	16 CCR <u>§1105(i), (k), and (l)</u> <u>§1105.1(b), (c)</u> CODA <u>3-6, 3-7, 3-8, 3-9</u>	Moderate	Prior to the start of the next academic session
a. Institution does not provide sufficient number of faculty for student support	16 CCR <u>§1105(i) and (k)</u> CODA <u>2-5</u>	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
b. Institution does not support opportunities for DHEP director promotion, tenure, and professional development	16 CCR <u>§1105(i), (k), and (l)</u> <u>§1105.1(b), (c)</u> CODA <u>3-6, 3-7, 3-8, 3-9</u>	Moderate	Prior to the start of the next academic session

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XIV. DHEP Staff Qualifications, Requirements, and Responsibilities			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Staff DHEP Support	16 CCR §1105(i) and (k) CODA 2-5, 3-10, 3-11	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
a. DHEP lacks administrative support	16 CCR §1105(i) and (k) CODA 2-5, 3-10	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
b. DHEP lacks preclinical/clinical staff support	16 CCR §1105(i) and (k) CODA 2-5, 3-10, 3-11	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
c. DHEP lacks laboratory support	16 CCR §1105(i) and (k) CODA 2-5, 3-10	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
2. Staff Qualifications	16 CCR §1105(i) and (k) CODA 2-5, 3-10	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session
a. Staff lack DHBC preclinical/clinical staff qualifications	16 CCR §1105(i) and (k) CODA 2-5, 3-10	Moderate to Severe	Temporary: Immediately Permanent: Prior to the start of the next academic session

XV. Facilities and Support Service Requirements			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. General Facility and Support Services Requirements	16 CCR §1105(i) CODA 2-5, 4-1	Moderate	Prior to the start of the next academic session

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XV. Facilities and Support Service Requirements			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
a. DHEP lacks adequate facilities to support the DHEP	16 CCR §1105(i) CODA 2-5, 4-1	Moderate	Prior to the start of the next academic session
2. Clinical Facilities	16 CCR §1105(i) §1105.2(d)(3)(A) CODA 2-5, 4-1	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks
a. Clinical facilities in disrepair	16 CCR §1105(i) §1105.2(d)(3)(A) CODA 2-5, 4-1	Moderate to Severe	Severe - Immediate Moderate - Compliance within 6 weeks
b. Clinical facilities lack sufficient number of clinical stations for enrolled students	16 CCR §1105(i) §1105.2(d)(3)(A) CODA 2-5, 4-1	Moderate to Severe	Severe - Immediate Moderate - Compliance within 6 weeks
c. Clinical facilities lack necessary supplies	16 CCR §1105(i) §1105.2(d)(3)(A) CODA 2-5, 4-1	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks
3. Radiography Facilities	16 CCR §1105(i) CODA 2-5, 4-1, 4-2	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks
a. Radiography facilities in disrepair	16 CCR §1105(i) CODA 2-5, 4-1, 4-2	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks
b. Radiography facilities lack sufficient number of stations for enrolled students	16 CCR §1105(i) CODA 2-5, 4-1, 4-2	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks

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XV. Facilities and Support Service Requirements			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
c. Radiography facilities lack necessary supplies	16 CCR §1105(i) CODA 2-5, 4-1, 4-2	Moderate to Severe	Severe – Immediate Moderate - Compliance within 6 weeks
4. Laboratory Facilities	16 CCR §1105(i) CODA 2-5, 4-1, 4-3	Moderate	Prior to the start of the next academic session
a. Laboratory facilities in disrepair	16 CCR §1105(i) CODA 2-5, 4-1, 4-3	Moderate	Prior to the start of the next academic session
b. Laboratory facilities lack sufficient number of stations for enrolled students	16 CCR §1105(i) CODA 2-5, 4-1, 4-3	Moderate	Prior to the start of the next academic session
c. Laboratory facilities lack necessary supplies	16 CCR §1105(i) CODA 2-5, 4-1, 4-3	Moderate	Prior to the start of the next academic session
5. Extended Campus Facilities (Major Site)	16 CCR §1105(i) CODA 2-5, 4-1, 4-4	Moderate	Compliance within 6 weeks
a. Program lacks DHBC Extramural Permit	BPC 1942, 1944(f)	Moderate	Compliance within 6 weeks
b. Extended Campus Facilities in disrepair	16 CCR §1105(i) CODA 2-5, 4-1, 4-4	Moderate	Compliance within 6 weeks
c. Extended Campus Facilities lack sufficient number of stations for enrolled students	16 CCR §1105(i) CODA 2-5, 4-1, 4-4	Moderate	Compliance within 6 weeks
d. Extended Campus Facilities lack necessary supplies	16 CCR §1105(i) CODA	Moderate	Compliance within 6 weeks

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XV. Facilities and Support Service Requirements			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	<u>2-5, 4-1, 4-4</u>		
6. Classroom Space	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-5</u>	Moderate	Compliance within 6 weeks
a. Classrooms in disrepair	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-5</u>	Moderate	Compliance within 6 weeks
b. Classrooms insufficient for number of students enrolled	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-5</u>	Moderate	Prior to the start of the next academic session
c. Classrooms lack necessary supplies	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-5</u>	Moderate	Prior to the start of the next academic session
7. Office Space	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-6</u>	Moderate	Prior to the start of the next academic session
a. DHEP administrator/faculty lack office space to enable the fulfillment of faculty assignments and ensure privacy for confidential matters.	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-6</u>	Moderate	Prior to the start of the next academic session
b. Student and DHEP records must be stored to ensure confidentiality and safety.	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-6</u>	Moderate to Severe	Prior to the start of the next academic session
8. Learning Resources	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-7</u>	Moderate	Prior to the start of the next academic session
a. DHEP fails to provide student support services	16 CCR <u>§1105(i)</u>	Moderate to Severe	Prior to the start of the next academic session

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XV. Facilities and Support Service Requirements			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA <u>2-5, 4-1, 4-7</u>		
b. DHEP lacks technology infrastructure	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-7</u>	Moderate	Prior to the start of the next academic session
c. DHEP lacks instructional aids	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-7</u>	Moderate	Prior to the start of the next academic session
d. DHEP lacks instructional reference materials	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-7</u>	Moderate	Prior to the start of the next academic session
e. DHEP fails to provide student support materials	16 CCR <u>§1105(i)</u> CODA <u>2-5, 4-1, 4-7</u>	Moderate	Prior to the start of the next academic session

XVI. Infection Control			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Infection Control	16 CCR <u>§1105.2 (d)(3)(A)</u> <u>and (d)(3)(D)(xii)</u> <u>§1105</u> <u>8 CCR §5193</u> <u>¹CDC Guidelines</u>	Minimal to Severe	Immediate

¹ [CDC Summary of Infection Prevention Practices in Dental Settings: Basic Expectations for Safe Care – 2024](#), [CDC Guideline for Isolation Precautions: Preventing Transmission of Infectious Agents in Healthcare Settings – 2007](#) and [CDC Guidelines for Infection Control in Dental Health-Care Settings — 2003](#)

DHBC DHEP Violation and Fine Rubric

XVI. Infection Control			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA <u>4-1</u>		
a. Sterilization Failure (e.g., Failure to sterilize critical or semi-critical instruments before patient use)	16 CCR <u>§1005(b)(11) – (15)</u>	Severe	Immediate
b. Contaminated Instruments (e.g., Use of contaminated or non-sterile handpieces, air/water syringe tips, or ultrasonic scaler tips)	16 CCR <u>§1005(b)(11) – (15)</u>	Severe	Immediate
c. Waterline Maintenance (e.g., Failure to maintain and test waterlines)	16 CCR <u>§1005(b)(21)</u>	Severe	Immediate
d. Single-Use Disposable Item Reuse (e.g., saliva ejectors, prophylaxis angles)	16 CCR <u>§1005(b)(16)</u>	Severe	Immediate
e. PPE & Exposure Risk (e.g., Failure to provide or use PPE when exposed to blood, aerosols, or OPIM)	16 CCR <u>§1005(b)(4) – (5)</u>	Severe	Immediate
f. Spore Testing & Recordkeeping (e.g., Absence of spore testing for sterilizers, failure to document, lapses in sterilization documentation, or falsification of results)	16 CCR <u>§1005(b)(17)</u>	Moderate to Severe	Severe: Immediate Moderate: Compliance within 6 weeks
g. Hand Hygiene (e.g., Lack of hand hygiene protocol, lack of hand hygiene equipment and supplies)	16 CCR <u>§1005(b)(6) – (7)</u>	Severe	Immediate
h. Sharps Safety	16 CCR <u>§1005(b)(9)</u>	Severe	Immediate

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XVI. Infection Control			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
(e.g., Lack of sharps containers, improper disposal of needles/sharps, lack of needlestick injury protocols and documentation)			
i. Personnel Health Restrictions (e.g., DHCP with open wounds or weeping dermatitis providing patient care)	16 CCR §1005(b)(7)	Severe	Immediate
j. Protocol & Documentation (e.g., No infection control protocol or failure to maintain or update it)	16 CCR §1005(b)(1) – (3)	Moderate	Compliance within 30 days
k. Surface Disinfection (e.g., Failure to utilize proper level of disinfectant solutions)	16 CCR §1005(b)(19) – (20)	Moderate	Compliance within 30 days
l. PPE Management (e.g., Improper PPE use, lack of PPE supplies)	16 CCR §1005(b)(5)	Moderate to Severe	Severe – Immediate Moderate - within 30 days
m. Instrument Processing and Storage (e.g., Instruments not labeled with date and sterilizer, instruments not stored in sealed packages if not immediately used)	16 CCR §1005(b)(11) – (15)	Moderate to Severe	Severe – Immediate Moderate - within 30 days
n. Posting & Visibility (e.g., Infection control regulations, radiation signage, laser signage not posted in the DHEP)	16 CCR §1005(b)(3) 10 CFR §20.1902	Minimal	Compliance within 6 weeks
o. Minor PPE Compliance	16 CCR §1005(b)(5)	Minimal	Compliance within 6 weeks

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XVI. Infection Control			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
(e.g., Failure to remove PPE when leaving patient care area)			
p. Cleaning Agents Labeling (e.g., Cleaning/disinfectant agents not labeled correctly or used per SDS)	16 CCR §1005(b)(14)	Minimal	Compliance within 6 weeks
q. Housekeeping Surfaces (e.g., Failure to properly clean walls, sinks, or floors with or availability of approved products)	16 CCR §1005(b)(19) – (20)	Minimal	Compliance within 6 weeks

XVII. Hazardous Waste/Radiation/Bloodborne/Infectious Disease Management, Immunization and Testing, EMS-BLS Provisions			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Hazardous Waste/Radiation /Bloodborne/Infectious Disease Management	16 CCR §1105(d) §1105.2(d)(2)(F) , (d)(2)(N) , and (d)(3)(C) CODA 5-1	Moderate	Compliance within 6 weeks
a. Hazardous Waste Plan (e.g., No hazardous waste plan available for student or faculty review)	16 CCR §1105(d) §1105.2(d)(2)(F) and (d)(3)(C) CODA 5-1	Moderate	Compliance within 6 weeks
b. Radiation Hygiene Policy (e.g., No clinic/radiation hazard communication)	16 CCR §1105(d) §1105.2(d)(3)(C)(ii)	Moderate	Compliance within 6 weeks

DHBC DHEP Violation and Fine Rubric

XVII. Hazardous Waste/Radiation/Bloodborne/Infectious Disease Management, Immunization and Testing, EMS-BLS Provisions			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
plan accessible to students or faculty)	CODA <u>5-1</u>		
c. Bloodborne/Infectious Disease Policy (e.g., Missing or inaccessible bloodborne/infectious disease policy)	16 CCR <u>§1105(d)</u> <u>§1105.2(d)(2)(N)</u> <u>and (d)(3)(C)</u> CODA <u>5-1</u>	Moderate	Compliance within 6 weeks
d. Inadequate Labeling of Policies (e.g., Policies lack clear labeling or version control)	16 CCR <u>§1105(d)</u> CODA <u>5-1</u>	Minimal	Compliance within 6 weeks
2. Immunization and Testing	16 CCR <u>§1104(b)(5)</u> <u>§1105(d)</u> CODA <u>5-2</u>	Severe	Immediate
a. Lack of Immunization/Testing Records (e.g., Program does not encourage or track student/staff immunizations for HBV, TB, MMR, etc.)	16 CCR <u>§1104(b)(5)</u> <u>§1105(d)</u> CODA <u>5-2</u>	Severe	Immediate
3. EMS-BLS Provisions	16 CCR <u>§1105.2(d)(2)(H)</u> CODA <u>5-3</u>	Severe	Immediate
a. Failure to Provide BLS/AED Training (e.g., Failure to ensure current BLS/AED certification for all clinical faculty/students)	16 CCR <u>§1105.2(d)(2)(H)</u> CODA <u>5-3</u>	Severe	Immediate
b. Emergency Medical Preparedness	16 CCR <u>§1105.2(d)(2)(H)</u>	Moderate	Compliance within 6 weeks

DHBC DHEP Violation and Fine Rubric

XVII. Hazardous Waste/Radiation/Bloodborne/Infectious Disease Management, Immunization and Testing, EMS-BLS Provisions			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
(e.g., No documented emergency medical response training or BLS instruction	CODA 5-3		

XVIII. HIPAA Compliance			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. HIPAA Compliance	16 CCR §1105.2(d)(3)(C) CODA 4-1, 6-5 HSC Division 109 §130203 (a) HIPAA 45 CFR 160 , 162 , and 164 esp. 164.530(c)	Severe	Immediate
a. HIPAA Violation – Patient Record Storage	16 CCR §1105.2(d)(3)(C) CODA 4-1, 6-5 HSC Division 109 §130203 (a) HIPAA 45 CFR 160 , 162 , and 164 esp. 164.530(c)	Severe	Immediate
b. HIPAA Violation – Confidentiality Breach	16 CCR §1105.2(d)(3)(C)	Severe	Immediate

DHBC DHEP Violation and Fine Rubric

XVIII. HIPAA Compliance			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
	CODA 4-1, 6-5 HSC Division 109 §130203 (a) HIPAA 45 CFR 160, 162 , and 164 esp. 164.530(c)		

XIX. Overall Compliance and DHEP Changes			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe , Moderate , Minimal)	Urgency/Timeline
1. Overall Compliance	16 CCR §1104(b)(5)	Moderate	Compliance within 6 weeks
a. DHEP provides a material misrepresentation of fact to the DHBC	16 CCR §1104(e)	Severe	Immediate citation and fine
b. Repeated deficiencies a. Converts level of severity to next level. b. Numbers of repeated violations shall be used as a points multiplier.	16 CCR §1104(b)(5)	Moderate to Severe	Citation and fine
2. DHEP Changes	16 CCR §1105.3(a) and (b)	Minimal to Moderate	Citation and fine
a. DHEP fails to notify the DHBC of fiscal, institutional, administrative or	16 CCR §1105.3(a) and (b)	Minimal to Moderate	Citation and fine

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XIX. Overall Compliance and DHEP Changes			
Category/Violations	Statutes, Regulations, and Standards	Level of Severity (Severe, Moderate, Minimal)	Urgency/Timeline
programmatic changes within 10 days			

XX. Citations and Fines		
Overall Citation Score = (Minimum violation × 1 point) + (Moderate violation × 3 points) + (Severe violation × 5 points)		
Level 1	1 to 4 points	Citation only
Level 2	5 to 7 points	Citation and fine of \$500
	8 to 10 points	Citation and fine of \$1,000
	11 to 14 points	Citation and fine of \$1,500
Level 3	15 to 17 points	Citation and fine of \$2,000
	18 to 20 points	Citation and fine of \$2,500
	21 to 24 points	Citation and fine of \$3,000
Level 4	25 to 27 points	Citation and fine of \$3,500
	28 to 30 points	Citation and fine of \$4,000
	31 points and above	Citation and fine of \$5,000

Example Scenario:

A DHEP has Three (3) minimal violations, two (2) moderate violations, and one (1) severe violation:

$$(3 \times 1) + (2 \times 3) + (1 \times 5) = 3 + 6 + 5 = 14$$

*Overall Citation Category = **Level 2***