

ALABAMA BOARD OF PHYSICAL THERAPY
ADMINISTRATIVE CODE

CHAPTER 700-X-4
DISCIPLINARY ACTIONS

TABLE OF CONTENTS

700-X-4-.01	Complaints
700-X-4-.02	Probable Cause
700-X-4-.03	Summons And Complaint
700-X-4-.04	Pre-Hearing Discovery
700-X-4-.05	Disciplinary Hearings
700-X-4-.06	Discipline
700-X-4-.07	Costs And Fines
700-X-4-.08	Reinstatement Of License After Revocation
700-X-4-.09	Conflict And Bias

700-X-4-.01 **Complaints.** Complaints alleging any violation of the laws of the State of Alabama or rules of this Board may be lodged by any person in writing with the executive director.
Authors: Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris
Statutory Authority: Code of Ala. 1975, §§34-24-193, 34-24-194.
History: Filed September 30, 1982. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed February 4, 2003; effective March 11, 2003. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.02 **Probable Cause.** Beginning January 21, 2009, upon the lodging of a complaint, the executive director shall refer the complaint to the chair of the Board. Subsequent to investigation the chair shall, in consultation with the executive director the Board's attorney, and a second board member appointed by the Chair, determine whether probable cause exists for the issuing of a summons and complaint by the Board. If a summons and complaint is issued, the chair and the second board member involved who made the probable cause determination shall not vote at the disciplinary hearing held pursuant to the summons and complaint.

Authors: John C. Badenhop, Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris, Sonja Enfinger, John Cormier, Ron G. Bass, Mitzi Tuttle, Andy Gustafson, Jay Segal, Vince Molyneux
Statutory Authority: Code of Ala. 1975, §34-24-194.

History: Filed September 30, 1982. **Amended:** Filed September 6, 1985. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed February 4, 2003; effective March 11, 2003. **Amended:** Filed December 15, 2008; effective January 19, 2009. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.03 **Summons And Complaint.**

(1) Preparation. In the event the Board determines that probable cause exists for the filing of a summons and complaint, the Board shall instruct its counsel to prepare it, and it shall be filed with the Board.

(2) The summons and complaint shall be mailed certified mail, return receipt requested, to the most recent address of the respondent on file with the Board and shall be mailed at least 30 days prior to the scheduled date of the hearing. In the event the summons and complaint is refused or the return receipt has not been received by the Board or its attorney at least 20 days before the scheduled hearing, respondent may be served by mailing a copy of the summons and complaint first class mail at least 15 days before the hearing date.

(3) Contents. The summons and complaint shall give notice in substantial compliance with the Alabama Administrative Procedures Act S12(2).

Authors: John C. Badenhop, Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris

Statutory Authority: Code of Ala. 1975, §§34-24-193, 34-24-194, 41-22-12(1).

History: Filed September 30, 1982. **Amended:** Filed September 6, 1985. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed February 4, 2003; effective March 11, 2003. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.04 **Pre-Hearing Discovery.**

(1) Permitted. Pre-hearing discovery shall be permitted in accordance with this rule to the extent necessary to prevent fraud, conserve the Board's time, prevent undue surprise at hearing and facilitate the carriage of justice.

(2) Extent Allowed. The attorney for the Board or the respondent may, upon application to the Administrative Law Judge, obtain discovery regarding any matter not privileged which is relevant to the subject matter involved in the pending action, whether it relates to the charge of the Board or the defense of the respondent.

(3) Methods of Discovery.

(a) Upon written application to the Administrative Law Judge, the following discovery may be allowed or ordered:

1. Deposition upon oral examination of any expert witness.

2. Interrogatories to respondent.

3. Order for production and copying of documents and things and entry upon land for inspection and other purposes, against any person.

(b) The discovery must be in accordance with the Alabama Administrative Procedures Act.

Authors: Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris
Statutory Authority: Code of Ala. 1975, §34-24-193.

History: Filed September 30, 1982. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed February 4, 2003; effective March 11, 2003. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.05 Disciplinary Hearings.

(1) Conduct of Hearing.

(a) Administrative Law Judge. The Board may, in its discretion, appoint some person to act as Administrative Law Judge at disciplinary hearings. In the event an Administrative Law Judge is appointed, he/she shall preside at the hearing and

shall rule on all questions of evidence and procedure, notwithstanding other provisions of these rules to the contrary.

(b) Plea. The respondent shall plead either "guilty" or "not guilty" to the charges set forth in the complaint.

(c) Opening Statement. Each side shall be permitted to make a short opening statement.

(d) The state shall present its evidence, followed by the respondent, followed by rebuttal by the state. Each witness called may be examined in the following manner:

1. Direct examination.
2. Cross examination.
3. Examination by Board.
4. Re-direct examination.
5. Re-cross examination.
6. Reexamination by Board.

(e) Closing Argument. Each side shall be permitted to make a short closing statement summarizing the evidence presented and urging the application of relevant law to the evidence presented.

(f) The Board may request one or both sides to prepare within seven days for the Board's consideration a proposed order of the Board including findings of fact, official notice, and conclusions of law. Underlying facts of record which support the findings should be cited.

(g) Order. The Board shall issue an order within 30 days of the date of the final hearing, which shall include findings of fact, official notice taken, and conclusions of law, stated separately. Respondent shall be delivered a copy of the order by certified mail, return receipt requested, and a copy shall be mailed first class to each attorney of record.

(2) Evidence. Evidence shall be admitted in accordance with the Alabama Administrative Procedure Act Section 13.

(3) Emergency Suspensions. Emergency suspensions shall be governed by Code of Ala. 1975, §41-22-19(d).

Authors: Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris

Statutory Authority: Code of Ala. 1975, §§34-24-193, 41-22-13, 41-22-16(3).

History: Filed September 30, 1982. **Amended:** Filed

September 4, 1998; effective October 11, 1998. **Repealed and New**

Rule: Filed May 12, 2017; effective June 26, 2017.

700-X-4-.06 Discipline.

(1) Revocation or suspension of License. Upon a finding that respondent has violated any enumerated provision of Code of Ala. 1975, §34-24-217, or any rule adopted pursuant thereto, the Board may restrict, revoke or suspend respondent's license to practice as a physical therapist or physical therapist assistant in Alabama.

(2) Stay of Execution of Order. The Board may, in its discretion, permanently or temporarily stay the execution of its order to restrict, revoke or suspend respondent's license. The stay may be conditioned on any provision the Board deems appropriate under all the circumstances of a particular case.

(3) Considerations. In determining whether a license should be restricted, revoked or suspended, and whether execution of the order should be stayed, and upon what conditions, the Board shall consider all relevant factors, including, but not limited to, the following:

- (a) The severity of the offense;
- (b) The danger to the public;
- (c) The number of repetitions of offenses;
- (d) The length of time since the date of violation;
- (e) The number of complaints filed against the licensee;
- (f) The length of time the licensee has practiced;
- (g) The actual damage, physical or otherwise, to the patient;

- (h) The deterrent effect of the penalty imposed;
- (i) The effect of the penalty upon the licensee's livelihood;
- (j) Any efforts of rehabilitation; and
- (k) Any other mitigating or aggravating circumstances.

(4) Public Notice. The Board shall publish semi-annually a listing of names, with offenses, of licensees disciplined via formal or informal means.

Authors: Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris, Vince Molyneux, John Cromier, Jay Segal, Eric Dekle, Mitzi Watson, Mary Jolley

Statutory Authority: Code of Ala. 1975, §§34-24-193, 34-24-217.

History: Filed September 30, 1982. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed September 20, 2012; effective October 25, 2012; Operative November 2, 2012. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.07 Costs And Fines.

(1) Fines. The Board is authorized to discipline its licensees by the adoption and collection of administrative fines, not to exceed \$1,000 per violation, and it is further authorized to institute any legal proceedings necessary to effect compliance with this chapter.

(2) Costs. The Board may, with the agreement of a licensee, tax the costs of the Board's investigation or adjudication of a complaint.

Authors: James R. Hobbs, Jr.; Anne H. Harrison; Robert L. Shoemake, Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris

Statutory Authority: Code of Ala. 1975, §§34-24-193, 34-24-215.

History: Filed September 30, 1982. **Amended:** Filed November 29, 1989. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.08 Reinstatement Of License After Revocation.

(1) Application for Reinstatement. Any person whose license has been revoked may apply to the Board for reinstatement of the license at any time within two years of the revocation. In his/her application for reinstatement, the applicant should state why he/she feels the license should be reinstated and should specifically set forth any changed circumstances which would justify reinstatement. Applicant must include in his/her application evidence that he/she meets the current requirements for licensure.

(2) Board Action. Upon receipt of such application, the Board may grant the applicant a hearing to consider reinstatement, at which time applicant may appeal to the Board to reinstate his/her license.

Authors: James R. Hobbs, Jr.; Anne H. Harrison; Robert L. Shoemake; Herbert R. Caillouet; Donald L. Hiltz; Bernard Harris; Vince Molyneux; John Cormier; Jay Segal; Eric Dekle; Mitzi Watson; Mary Jolley

Statutory Authority: Code of Ala. 1975, §34-24-193.

History: Filed September 30, 1982. **Amended:** Filed November 29, 1989. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Amended:** Filed September 20, 2012; effective October 25, 2012; Operative November 2, 2012. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.

700-X-4-.09 Conflict And Bias.

(1) No Board member shall be entitled to vote in any disciplinary matter if the Board member is personally biased against the respondent or when such voting would violate the provisions of the Alabama Administrative Procedure Act, Section 18(1).

(2) Any respondent in a disciplinary action who wishes to assert bias or conflict may do so by filing with the executive director at least three days before the scheduled disciplinary hearing an affidavit asserting the disqualification together with the underlying factual basis for the assertion.

(3) The Board shall consider the assertion of disqualification on the record as a preliminary matter at the hearing before any other question is decided.

Authors: Herbert R. Caillouet, Donald L. Hiltz, Bernard Harris

Statutory Authority: Code of Ala. 1975, §34-24-193.

History: Filed September 30, 1982. **Amended:** Filed September 4, 1998; effective October 11, 1998. **Repealed and New Rule:** Filed May 12, 2017; effective June 26, 2017.