


**Department of Health
Office of Health Professions
Board of Osteopathic Medicine and Surgery**

Policy Statement

Revised – 10/18/11

Title:	Exception Application Matrix	Number: OP 2021-01
References:	RCW 18.57.005 – Board Powers and Duties RCW 18.59.141	
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Effective Date:	October 15, 2021	
Approved By:	 _____ Roger Ludwig, Chair, Board of Osteopathic Medicine and Surgery	

Purpose Statement:

The Board of Osteopathic Medicine and Surgery (board) provides this policy to establish appropriate delegation and ensure consistent processing of osteopathic physician exception applications.

Procedure:

The board adopts the Health Systems Quality Assurance Exception Application Procedure to process exception applications and uses the board-approved exception application matrix.

The convictions indicated do not require review by the board. The credentialing office may still choose to present these convictions to the board if there are other factors or concerns identified by the credentialing supervisor.

Department of Health Health Systems Quality Assurance	1-3-11
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Title: Exception Applications		Supersedes:
Purpose	This procedure establishes a uniform process for reviewing exception applications.	
RCW, WAC or policy	RCW 18.130.055 HSQA Procedure 1-2-21, Complaint Intake HSQA Procedure 1-3-112, Incomplete Credential Applications HSQA Procedure 1-2-02, Complaint Response HSQA Protocol 4-3-17, Credentialing Section Exception Application	
Tools or Forms:	Tools <ul style="list-style-type: none"> • Exception Application Flow Chart Forms <ul style="list-style-type: none"> • Addendum A 	
Approved by Office Director(s)	Community Health Systems (OCHS) Customer Service (OCS) Health Professions (OHP) Investigation and Inspection (OII) Legal Services and Legislative Liaison (OLS)	
Deputy Assistant Secretary	Shannon "Sam" Marshall	
Assistant Secretary	Kristin Peterson	
Date Approved for posting	March 1, 2010	
Effective date:	11/6/2017	
Date for review:	11/7/2019	
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DESCRIPTION

This procedure describes the 'Exception Application' process for pending health professions, agencies, or facilities applications. See 'Addendum A' for reasons that may cause an exception application.

DEFINITIONS ([Glossary](#)) ([Acronyms](#))

Case Management Team (CMT)	See glossary
Credential Status Reason	HSQA internal code in ILRS to provide more information regarding the status of a credential.
CMT Exception Application Roster	A document that lists the exception information to be reviewed at CMT.
Disciplinary Authority (DA)	See glossary
DSHS	Department of Social and Health Services
Exception Application	See glossary
ILRS action item	See glossary
WSP	Washington State Patrol

STEPS		
	Activity or Event(s)	Person(s) Involved
1.	Review application and supporting documents to see if it meets the exception criteria described in Addendum A .	OCS- Credentialing, Credentialing Specialist
2.	If the exception application criteria is met, change ‘Status Reason’ of the ILRS credential record to ‘Exception Application.’	OCS- Credentialing, Credentialing Specialist
3.	Review the appropriate exception application matrix to determine if the application can be approved without being presented to the disciplinary authority (DA). If the application must be presented to the DA, refer to Credentialing Section Exception Application 4-3-17 protocol and continue to step 4. NOTE: Not all professions have an approved exception application matrix.	OCS – Credentialing, Credentialing Supervisor or Lead Coordinator
4.	When all required documents are received related to the exception reason, and all credentialing requirements are met: a. Summarize the information on the CMT exception application roster and save to the appropriate secure electronic file folder for review. Send an email to the case manager notifying her or him that the CMT exception application roster is ready for review. If the applicant does not provide the requested documentation within the timeline determined by the office, the application is considered inactive and the Incomplete Credential Application Closure 1-3-112 procedure is followed.	OCS – Credentialing, Credentialing Supervisor or Lead Worker

5.	Review and present the CMT exception application roster with the DA for a decision to approve the exception application or to open a case for further review.	OII – Case Management
6.	<p>When the DA makes a decision to approve the exception application or to open a case:</p> <ul style="list-style-type: none"> a. The case manager updates the CMT exception application roster with the decision in the secure electronic file folder by the end of the next business day. b. Credentialing accesses the decision and updates the ILRS credential record. <p>If the DA decision is to approve the exception application, follow the appropriate credential approval process.</p> <p>If the DA decision is to open a case continue to Step 7.</p>	<p>OII – Case Management</p> <p>OCS – Credentialing, Credentialing Supervisor or Lead Worker</p>
7.	<p>When the DA decides to open a case:</p> <ul style="list-style-type: none"> a. Save an electronic copy of the application file with the exception application worksheet to the appropriate secure electronic file folder and email the Complaint Intake Unit by the end of the next business day. b. The Complaint Intake Procedure 1-2-21 is followed. 	<p>OCS – Credentialing Section</p> <p>OLS-Complaint Intake</p>
8.	<p>When the DA decides to close the case with no action:</p> <ul style="list-style-type: none"> a. Notify the credentialing supervisor by ILRS Work Order. b. Notify the Complaint Intake Unit by ILRS Action Item to close the case. <p>If the DA decides to take action, the Complaint Response Procedure 1-2-02 is followed.</p>	OII-Case Management

Addendum A

Exception Applications Procedure 1-3-11

Exception Application Criteria

1. Washington State Patrol (WSP) background check indicates criminal history
2. National Provider Data Bank (NPDB) indicates negative action
3. A report from a government agency, professional databank, or associations indicating negative action
4. Applicant answers 'Yes' to any personal data question
5. Criminal history record information provided by the applicant
6. Any negative action indicated on an out-of-state license verification
7. Applicant has a 'Case Pending' or 'Enforcement Action' on a credential
8. Applicant fails to meet credentialing requirements
9. Conflicting Social Security number
 - a. Examples:
 - i. SSN held by another individual
 - ii. Same individual uses multiple SSN
10. Suspected fraudulent documents
11. Administrative Office of the Courts report indicates criminal history
12. In compliance with RCW 18.130.050, final finding issued by Department of Social and Health Services (DSHS)
13. A final finding issued by Department of Social and Health Services (DSHS) under RCW 74.39A.051
14. Dispensing optician apprentice extension request under RCW 18.34.030

Process Map Name: Exception Applications
Created: 09/2017

Reviewed by:
 Approved Date: MM/YYYY

