GRADUATE MEDICAL EDUCATION

TRAINEE POLICIES AND PROCEDURES

POLICY: UTAH MEDICAL LICENSE, UTAH CONTROLLED SUBSTANCE, FEDERAL DEA NUMBER, NPI NUMBER, UTAH MEDICAID PROVIDER REGISTRATION, AND MEDICARE REGISTRATION
Policy Number 1.3
Chapter: Conditions for Employment

Purpose:
To maintain trainee compliance with all state and federal medical licensure requirements.

University of Utah Health trainees are not eligible for a Utah Temporary or Utah Physician Educator license.

Definitions:
A. Medicaid – refers to Utah Medicaid limited provider applications
B. Medicare – refers to Utah Medicare limited provider applications
C. Federal Drug Enforcement Agency (DEA) license – refers to a fee-exempt license unless otherwise specified
D. Fully Licensed – refers to a trainee that has met all licensing requirements as defined herein including NPI, Utah medical license, Utah controlled substance license, Federal DEA, Medicaid and Medicare

Policy:
A. All trainees are required to:
   1. Pass Steps 1, 2, and 3 of the United States Medical Licensing Exam (USMLE) or equivalent COMLEX or Canadian LMCCs
   2. Obtain a National Provider Identifier (NPI)
   3. Obtain a full unrestricted Utah medical license
   4. Obtain a Utah controlled substance license (Pathology exempt)
   5. Obtain a Federal Drug Enforcement Agency (DEA) registration (Pathology exempt)
   6. Register with Medicaid and Medicare (Pathology exempt)
   7. Dental (except NPIs) and PhD GME trainees are exempt from GME licensure requirements
B. The Graduate Medical Education (GME) Director may grant Administrative Variances and/or exemptions of this policy in specific instances described herein.

C. Any trainee who does not comply with this policy, or who is ineligible for licensure at the required time as set forth in this policy, without having been granted an Administrative Variance or license exemption, will be subject to disciplinary action and/or termination as dictated by the Graduate Medical Education Committee (GMEC).

D. Appeals of this policy may be made to the GMEC.

E. The Utah Medical Practice Act requires all physician applicants for Utah medical licenses to have completed 24 months of progressive training in an ACGME-accredited residency training program, or a program approved by the Royal College of Physicians and Surgeons or the College of Family Physicians of Canada.

F. GME trainees are expected to apply for a Utah Medical license after successfully completing 12 months of accredited residency training in the state of Utah, provided they are participating in a second year of progressive, accredited residency training also in the state of Utah.
   1. However, a GME trainee will surrender or have revoked the Utah medical license if they do not complete the training program (Utah Medical Practice Act 58-67-302 (1)(e)(ii)(C).

G. The federal government only allows providers with an NPI, DEA, Medicaid, and Medicare enrollment to be authorizing signers for outpatient orders, equipment (DME) or for medications.
   1. First and second year trainees may not sign for either medications or other orders in the OUTPATIENT setting unless they are fully licensed in the state of Utah.

   2. Once trainees are registered with NPI, hold a Utah medical license, Utah controlled substance license, a Federal DEA, enrolled with Medicaid and Medicare they may sign outpatient medications.

   3. However, other orders or equipment (DME) still require a co-signature since these are billable items.

H. Concurrent Faculty Appointment
   1. Trainees who apply for and hold a concurrent faculty appointment are the exception to the above. For example, an Orthopedic Hand Surgery trainee may function as a board certified, independent practitioner for general
Orthopedics. These trainees are given attending level security (no co-signature required); however, when functioning in their trainee role, their orders and notes require a co-signature.

I. In order to meet the Medical Staff Office faculty hiring deadlines, a Fee-Paid DEA licensure must be obtained. This fee may be paid by either the department or the trainee.

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<tr>
<th>User/Security Class</th>
<th>Who?</th>
<th>What does it mean?</th>
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| Trainee No License                               | First and Second Year Trainees, no Utah medical license, DEA, NPI, Medicaid nor Medicare | 1. Inpatient meds and orders do not require co-sign (except for admit to, discharge to, and code status orders)  
2. Discharge orders and meds require co-sign (as these are actually outpatient orders)  
3. All outpatient orders require co-sign |
| Trainee Utah medical license, NPI, DEA, Medicaid, Medicare Enrolled | Second year trainee and above who are fully licensed | 1. Inpatient orders  
   a. NO co-signature required  
   b. Exception of “Admit To” and “DNR/DNI” orders do require co-sign  
2. Outpatient orders (includes discharge orders which effectively are outpatient orders)  
   a. Orders do not require co-signature  
3. Documentation does require co-signature |
| Concurrent Faculty Appointment                    | Trainees who function in a concurrent appointment role | No co-sign for either inpatient or outpatient documentation, orders or meds |

Procedure:
A. **Post-Graduate Year One (PGY-1) Trainees**  
**PGY-1 Exam and Licensure Requirements**
1. All post-graduate year one (PGY-1) trainees are required to pass and show evidence of the USMLE Steps 1 and 2 or equivalent COMLEX or Canadian LMCCs prior to beginning residency training as part of the GME credentialing process.
2. All PGY-1 trainees are required to pass and show evidence of the USMLE Step 3 or equivalent COMLEX or Canadian
LMCCs to GME by the last day of their PGY-1.

B. **PGY-1 NPI Requirements**
1. All PGY-1 trainees must apply for, obtain, and provide a NPI number to the GME Office prior to hire date. Instructions for obtaining an NPI number are sent to PGY-1 trainees with the Onboarding Packet.

2. **Program Director Responsibilities**
Program Directors and/or Program Coordinators are expected to obtain verification from applicants to programs that they have passed Steps 1 and 2 of the USMLE or equivalent COMLEX or Canadian LMCCs prior to the beginning of the residency.

3. **Accepted or matched PGY-1** trainees who have not taken or passed Steps 1 and 2, or equivalent COMLEX or Canadian LMCCs will be released from their contracts unless an approved Administrative Variance is granted.

4. Program Directors and/or Program Coordinators are expected to obtain verification from all PGY-1 trainees in their programs that they have taken, passed, and received scores of Step 3 of the USMLE or equivalent COMLEX or Canadian LMCCs during the PGY-1 year and show evidence to GME.

C. **Post-Graduate Year Two (PGY-2) and Above Trainees**

1. All PGY-2 trainees and above must apply for, obtain, and provide a NPI number to the GME Office prior to hire date. Instructions for obtaining an NPI number are sent to the trainees with the Onboarding Packet.

D. **PGY-2 and Above Licensure Application Requirements**
1. All PGY-2 trainees must be eligible for a Utah medical license, a Utah controlled substance license (Pathology exempt), a federal DEA registration (Pathology exempt) and meet the required time guidelines outlined below.

2. Unless an Administrative Variance has been granted by the GME Office, all PGY-4 and above incoming trainees must obtain a Utah medical license and Utah controlled substance license (Pathology exempt) by their hire date.

3. All trainees must register with Medicaid and Medicare after receipt of a Utah medical license.
4. The GME Office will submit all licensure applications on the trainees' behalf with the exception of the federal fee-paid DEA, Medicaid and Medicare enrollments for concurrent faculty trainees.  
   a. For the FCVS application, if a trainee submits multiple designations, the GME Office will only reimburse/pay for the Utah medical board designation.

5. **Program Director Responsibilities**  
Program Directors and/or Program Coordinators will verify that all trainees at level PGY-2 and above are eligible to apply for medical licensure by having taken and passed USMLE Steps 1, 2 and 3 or equivalent COMLEX or Canadian LMCCs.

6. Incoming trainees at level PGY-2 and above who have not taken and passed USMLE Steps 1, 2, and 3 or equivalent COMLEX or Canadian LMCCs will not be accepted into the program unless there is a justifiable reason for an Administrative Variance or exemption to this policy.

7. If a trainee at level PGY-2 and above is not eligible to apply for medical licensure, the Program Director must notify the GME Office and petition that body for an Administrative Variance or exemption for the trainee to begin the training program.

E. **Application Deadlines and Fees**  
1. **All PGY-2 and above trainees:**  
   a. The GME Office will submit the FCVS credentialing application, a Utah medical license and controlled substance applications, Medicaid and Medicare, and a fee-exempt Federal DEA on behalf of the trainees.  
   b. All PGY-2 and above trainees are required to submit all requested documentation as outlined by the GME Office by the provided deadlines. Trainees who do not comply may incur disciplinary action until all documentation is submitted.

2. FCVS credentialing and Utah medical license applications will be paid for by the GME Office.

3. All University of Utah trainees are eligible for a “fee-exempt” DEA license for use during their GME training.  
   a. The “fee-exempt” DEA license is appropriate for any prescriptions written for patients seen as part of the training program when the trainee is acting within the scope of approved and supervised training rotations and experiences.  
   b. Any trainee who is providing patient care outside the
scope of training, or moonlighting, must obtain a separate “fee-paid” DEA registration (at the trainee’s expense—this is not a reimbursable fee).

   c. Use of the “fee-exempt” DEA registration for activities that are not part of a University of Utah training program is a federal violation.

4. The Controlled Substance Prescriber Education (Opioid) Course will be paid for by the GME Office as part of the Utah controlled substance license renewal fee for all GME trainees.

F. Licensing Deadlines and Copy Requirements
1. It is the responsibility of the trainee to follow through as needed to ensure licensure in a timely manner. This may include contacting FCVS, the Utah Board, prior educational or training institutions, previous employers, or the GME Office.

2. Trainees who do not follow through as necessary may be subject to disciplinary action, including suspension.

3. Copies of the Utah medical license, Utah controlled substance license, and federal DEA registration must be submitted to the GME Office within three days of receipt.

G. Training Under a Disciplinary Action
1. The GMEC will consider requests from Program Directors and make a decision on whether to allow a trainee who is ineligible for licensure or who has not met licensure requirements to begin training under the terms of an Administrative Variance.

2. If the GMEC grants an Administrative Variance to this policy, the trainee and the Program Director will be notified in writing regarding the length and terms of the Variance.
   a. At the end of the Variance period, the trainees must have met all terms of the Variance granted or the Program Director may petition for a subsequent Variance.

H. Consequences of Failure to Satisfy Requirements
1. Accepted or matched PGY-1 trainees who have not taken or passed Steps 1 and 2 (or the equivalent COMLEX or Canadian LMCCs) will be released from their contracts.

2. No Administrative Variances will be awarded.

3. Any PGY-2 and above trainee who is training under the terms of an Administrative Variance granted by the GME Office, and who does not meet the terms of that Variance, may be dismissed from the training program by the Program Director.
4. If the Program Director does not wish to dismiss the trainee, the Program Director must notify the GMEC and petition that body for permission to allow the trainee to continue in the training program.
   a. The GMEC may grant additional Administrative Variances or dismiss the trainee from the training program.
   b. The Administrative Variance will include terms and conditions by which the trainee must abide and will be provided in writing to the trainee and the Program Director.
   c. Failure of a trainee to meet the terms and conditions of a final Administrative Variance will result in dismissal of the trainee from the training program with no option to appeal.

3. Any trainee who is dismissed from a training program for failure to meet licensure requirements may re-apply to that program following successful completion of the requirements.

4. Re-acceptance into a program is at the discretion of the Program Director.

I. Exemptions from the License Requirement
   1. The GMEC may approve exemptions from the license requirement in certain circumstances (per Utah Division of Occupational and Professional Licensing Act 58-1-307(1)(b)).

2. If a trainee is an international medical graduate with no prior residency training in the United States, or is unable to comply with the licensing policy due to overriding concerns or issues deemed by the GMEC to be substantial and justifiable, the Committee may grant an exemption from the medical license requirement for a period of time not to exceed the length of the training program requesting the exemption.
   a. Trainees training with an exemption from the licensure requirement may not participate in moonlighting activities or any activities outside the scope of the training program.
   b. The Program Director and the trainee will be notified in writing of such an exemption, which will be documented in the trainee’s file.

3. Exemptions from the medical licensing requirements are considered on a case-by-case basis and are at the sole discretion of the GMEC.
   a. They should not be assumed to be automatic under the circumstances stated above.
4. Exemptions from medical licensure approved by the GMEC under this policy will be immediately revoked if the trainee leaves the training program for any reason.

J. **License Renewals**
1. All Utah MD licenses expire January 31 in even years and Utah DO licenses expire May 31 in even years.

2. Trainees are responsible for renewing their licenses prior to the expiration date.

3. Trainees who do not comply may incur disciplinary action until all documentation is submitted.

4. The Controlled Substance Prescriber Education (Opioid) Course will be paid for by the GME Office as part of the Utah controlled substance license renewal fee for all GME trainees.

K. **Reimbursements**
1. The GME Office will reimburse any FCVS (only for the state of Utah designation) and Utah medical and Utah controlled substance licensing fees that are within one year of the trainee’s GME hire date.

2. It is the responsibility of the trainee to submit receipts to the GME Office by the provided deadline in order to receive reimbursement.

3. Since all GME trainees are eligible for a fee-exempt Federal DEA license, the GME Office does not reimburse for Federal DEA licenses.

4. If a fee-paid DEA is required for concurrent faculty appointments or moonlighting purposes, this fee is the responsibility of the program or trainee.

5. The GME Office will reimburse the full cost of the Utah medical and Utah controlled substance license renewal for trainees as long as the renewal is completed before the expiration date.

6. For the trainee’s convenience, the GME Office will make a one-time arrangement (either delivered to the program coordinator to distribute, to their home mailing, or designate someone to pick up the check on their behalf).

7. If a trainee does not deposit the check for any reason they may request a one-time re-issue of the check. This check must be picked up at the GME Office.