## STATE OF WASHINGTON DEPARTMENT OF HEALTH CHIROPRACTIC QUALITY ASSURANCE COMMISSION

### (Date reviewed)

T0: CHIROPRACTIC Quality Assurance Commission

FR: (your name), CH

**CHIRORPACTIC Quality Assurance Commission** 

RE: Case No. 0000-000000 (Make sure to double-check for accuracy)

### PERTINENT INFORMATION FOR PREVIOUS CASES:

Is there a previous complaint history? Is respondent under Commission order and on compliance? Is there a pattern of "like type" complaints

### **ALLEGATIONS:**

Briefly describe the main points of the allegations

### **EVIDENCE:**

- Complaint letter
- Statement from Respondent
- Records (includes x-rays, billing records, patient records, etc.)
- Statement from subsequent treating chiropractor/Consultant
- Other

### **SUMMARY OF CASE:**

Details of your review of case, essential elements, special circumstances, length of treatment, all pertinent information

### ASSESSMENT:

As the RCM, what is your assessment of this case? What are the potential violations, if any? Include UDA citings.

### **RECOMMENDATIONS:**

Give a synopsis of your recommendations on this case, outline any questions that need further discussion by the panel.

Include closure type and closure code:

Example: Closed, after	er investigation, no vi	iolation determined	
Provide a brief synop	sis of the basis for th	nis recommendation	
Expert Witness Spec	·	ation:	
ADDITIONAL INVES (If yes, clearly outlin	Signature of Revie	ewer: (for cost recove	
PANEL APPROVAL: DISCUSSION ITEMS:	ΥΥ		N
Staff Attorney:			

Other factors impact the sanction to be imposed. The appropriate sanction takes into consideration aggravating and mitigating circumstances, as well as a respondent's prior disciplinary history.

If minimum sanction is used, mitigating circumstances must be documented in the order. If aggravating circumstances exist, the sanction should approach the maximum sanction. If the circumstances of the case involve both aggravating and mitigating circumstances, the disciplining authority must balance the two and identify its evaluation process in the order.

The listed aggravating and mitigating factors are not an exclusive list. The disciplining authority may consider other factors if relevant.

### AGGRAVATING AND MITIGATING CIRCUMSTANCES:

### Mitigating

- Timely and good faith efforts to rectify consequences of misconduct
- Interim rehabilitation
- Remoteness of prior offenses
- Self-reported and voluntary admission of violation
- Implementation of remedial measures to mitigate harm or risk of harm
- Rehabilitation potential
- Absence of prior discipline
- Absence of dishonesty or selfish motive
- Isolated incident, not likely to recur
- Remorse
- Absence of adverse impact
- Remoteness of misconduct

### Aggravating

- Prior discipline in any jurisdiction
- Dishonesty or selfish motive
- Pattern of misconduct or variety of offenses
- Bad faith, obstruction
- Refusal to acknowledge nature of conduct
- Vulnerability of victim
- Harm to one or more patients
- Severity of patient harm
- One or more violations involving more than one patient
- Economic harm to any individual or entity and severity of such harm
- Increased potential for public harm
- Attempted concealment of violation
- Intentional, premeditated, knowing or grossly negligent act constituting a violation

- Prior similar violation
  Violation of prior disciplinary order
  Willful or reckless misconduct



# HEALTH PROFESSIONS QUALITY ASSURANCE CHIROPRACTIC QUALITY ASSURANCE COMMISSION

### REVIEWING MEMBER WORKSHEET

Work Product - Prepared in Anticipation of Litigation

### I. <u>CASE INFORMATION</u>:

REVIEWING MEMBER	
RESPONDENT	
CASE NUMBER	
COMPLAINANT CATEGORY	☐ Patient ☐ Insurance Co. ☐ Malpractice Ins. Co. ☐ Other
PRIOR COMPLAINTS LODGED	[REFER TO ASI HISTORY PROVIDED WITH CASE FILE]
AGAINST RESPONDENT	
TIME SPENT ON CASE	

COMPLETE SECTIONS III THROUGH VIII BEFORE DETERMINING CLOSURE STATUS CODE OR REQUESTED LEGAL ACTION CODE.

### II. <u>ACTION RECOMMENDED</u>:

CLOSE – A	FTER	LEGAL ACTION
INVESTIGATION		REQUESTED
CNAA	CNAH	CNOC
- No Jurisdiction	- Complainant withdrew	- File closed with a Notice of Correction (NOC)
[Refer to Guidelines -	Refer to Guidelines -	Note: No fines or sanctions can be imposed; can
Attachment G at pgs. 12-13]	Attachment G at pgs. 14-15]	only require compliance with statutes and rules.]
		[Refer to Guidelines -
		Attachment G at pgs. 16-23]
☐ CNAB	☐ CNAI	CCNOC
- Below Threshold	- Care rendered was within standard	- File closed as a result of a NOC, follow up
[Refer to Guidelines -	of care	tracking is needed.
Attachment G at pgs. 5-11]	Refer to Guidelines -	[Note: No fines or sanctions can be imposed; can
· ·	Attachment G at pgs. 14-15]	only require compliance with statutes and rules]
		Refer to Guidelines -
		Attachment G at pgs. 16-23]
CNAC	☐ CNAJ	☐ SOA/STID
- Evidence does not support a violation	- Conduct was within standard of	Statement of Allegations -
[Refer to Guidelines -	practice	Stipulation to Informal Disposition
Attachment G at pgs. 14-15]	[Refer to Guidelines -	[Note: Fines cannot be assessed; cost recovery only]
	Attachment G at pgs. 14-15]	Refer to Guidelines -
		Attachment G at pgs. 24-29]
CNAD	CNAK	SOC
- Insufficient evidence	- Mistaken identity	Statement of Charges
[Refer to Guidelines -	[Refer to Guidelines -	Refer to Guidelines –
Attachment G at pgs. 14-15]	Attachment G at pgs. 14-15]	Attachment G at pgs. 30-34]
☐ CNAE	☐ CNAM	☐ OTHER
- No violation determined	- No Whistleblower - unable to	If choosing other, please set forth complete
[Refer to Guidelines -	pursue w/o whistleblower release	description.
Attachment G at pgs. 14-15]	[Refer to Guidelines -	
	Attachment G at pgs. 14-15]	
CNAF	CNAX	CONREV
- Not a violation at the time the event	- Complaint unique closure	- Consultant review
occurred	[Refer to Guidelines -	
[Refer to Guidelines -	Attachment G at pgs. 14-15]	
Attachment G at pgs. 14-15]		
CNAG		☐ LR VIEW
- Risk minimal, not likely to reoccur		- Legal review
Refer to Guidelines -		
Attachment G at pgs. 14-15]		

### **FACTS/EVIDENCE:** III. **SUMMARY OF FACTS (briefly summarize):** A. [Please attach separate page if more space needed to set forth Facts.] SPECIFIC EVIDENCE CONSIDERED: (i.e., patient records, statements, investigator's summary, В. etc.) [Please include the identifying page number marked on the record.] EVIDENCE OF PATIENT HARM: Yes No \_\_\_\_\_ C. Physical \_\_\_\_\_ Emotional \_\_\_\_ Financial \_\_\_\_\_ Please describe: IV. CASE DISPOSITION: Should the case be closed - no cause for action? Yes \_\_\_\_\_ No \_\_\_\_ [If yes, mark the appropriate box signifying the complaint closure status code on page 1 of this Worksheet.] IF NO, PLEASE CONTINUE: ٧. <u>ADDITIONAL INFORMATION:</u> Is additional information needed? Yes \_\_\_\_\_\_ No \_\_\_\_\_ If yes, what information is needed? Billings \_\_\_\_\_ Other: \_\_\_\_\_ Additional Records X-Rays TYPE OF CASE: VI. Criminal Conviction Violation of Standard of Care Violation of Scope of Practice Fee/Billing Complaints Sexual Misconduct Unprofessional Conduct Advertising Complaint Expired License Fraud Other:

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### VII. RCW AND WAC VIOLATIONS:

Should the respondent be charged?	Yes	No
If yes, mark the specific RCW or W.	AC below for the allege	ed violations.

PLEASE NOTE: THE STATUTES AND CODES LISTED IN THE SECTIONS BELOW ARE NOT AN INCLUSIVE LIST – PLEASE REFER TO LAW BOOK FOR ANY ADDITIONAL STATUTES AND CODES THAT ARE APPLICABLE TO SUBJECT CASE

UDA Violations (Unprofessional Conduct)		
RCW 18.130.180 (1)  [Act involving moral turpitude, dishonesty or corruption]	RCW 18.130.180 (13) [Misrepresentation or Fraud]	
RCW 18.130.180(2)	RCW 18.130.180 (14) [Failure to adequately supervise auxiliary staff]	
[Misrepresentation or concealment of a material fact in license application or license reinstatement]	RCW 18.130.180 (15)  [Contact with public while suffering from contagious or	
RCW 18.130.180 (3) [False, fraudulent or misleading advertisements]	infectious disease]  RCW 18.130.180 (16)	
RCW 18.130.180 (4) [Incompetence, negligence or malpractice]	[Promotion for personal gain of any unnecessary or inefficacious drug, device, treatment, procedure or service]	
RCW 18.130.180 (5) [Suspension, revocation or restriction of license to practice in any state, federal, or foreign jurisdiction]	RCW 18.130.180 (17)  [Conviction of any gross misdemeanor or felony]	
RCW 18.130.180 (6)  [Possession, use, prescription for use, or distribution of controlled substances or legend drugs]	RCW 18.130.180 (18)  [Procuring or aiding or abetting in procuring, a criminal abortion]	
RCW 18.130.180 (7)  [Violation of any state or federal statute or administrative rule]	RCW 18.130.180 (19) [Offering, undertaking, or agreeing to cure or treat disease by a secret method]	
[Needs to be marked before charging under WAC]	RCW 18.130.180 (20) [Willful betrayal of a practitioner – patient privilege]	
RCW 18.130.180 (8) [Failure to cooperate with disciplining authority]	RCW 18.130.180 (21) [Violation of RCW 19.68 - Rebating Prohibited]	
RCW 18.130.180 (9)  [Failure to comply with actions of disciplining authority]	RCW 18.130.180 (22) [Interference with an investigation or disciplinary proceeding]	
RCW 18.130.180 (10) [Aiding or abetting an unlicensed person to practice]	RCW 18.130.180 (23) [Current misuse of alcohol, controlled substances or legend drugs]	
RCW 18.130.180 (11) [Violation of established rules by any health agency]	RCW 18.130.180 (24) [Abuse of or sexual contact with patient]	
RCW 18.130.180 (12) [Practice beyond scope]	RCW 18.130.180 (25) [Acceptance of gratuity, hospitality or subsidy]	

Standard of Care			
RCW 18.25.005 [Chiropractic Defined]	WAC 246-808-370 [Patient Disclosure]		
RCW 18.130.180 (4) [Incompetence, negligence or malpractice]	WAC 246-808-380 [Degree of Skill]		
RCW 18.130.180 (7) [Violation of any state or federal statute or administrative rule]	WAC 246-808-520[Identification]		
WAC 246-808-150 [Commission-approved Continuing Education]	WAC 246-808-535 [Delegation of Services to Auxiliary Staff & Graduate Doctors of Chiropractic]		
WAC 246-808-320 [Privileged communications]	WAC 246-808-560 [Documentation of Care]		
WAC 246-808-330 [Patient abandonment]	WAC 246-808-565 [Radiographic Standards]		
<b>WAC 246-808-340</b> [Consultation]	WAC 246-808-585 [Clinically Necessary X-Rays]		
WAC 246-808-350 [Unethical Requests]	Other:		
WAC 246-808-360 [Patient Welfare]			
Scope	e of Practice		
RCW 18.25.25.005 [Chiropractic Defined]	WAC 246-808-575 [Intravaginal Adjustment Restricted]		
RCW 18.130.180 (12) [Practice Beyond the Scope]	WAC 246-808-580[Acupuncture]		
WAC 246-808-505 [Classification of Chiropractic Procedures]	WAC 246-808-640 [Scope of Practice]		
WAC 246-808-570 [Pelvic or Prostate Examination Prohibited]	Other:		
Sexual	Misconduct		
RCW 18.130.180 (1) [Act Involving Moral Turpitude, Dishonesty or Corruption]	WAC 246-808-590 [Sexual Misconduct]		
RCW 18.130.180 (24) [Abuse of a patient or Sexual Contact with Patient]	Other:		

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<u>Licensing Issues</u>			
RCW 18.130.180 (2)  [Misrepresentation or concealment of a material fact in obtaining a license or in reinstatement thereof]	RCW 18.130.200 [Fraud or misrepresentation in obtaining or maintaining a license – penalty]		
RCW 18.130.180 (10)  [Aiding or abetting an unlicensed person to practice when a license is required]	WAC 246-808-180  [Expired licenses – requirements to reinstate]  Other:		
RCW 18.130.190 [Practice without license]			
	Fraud		
RCW 18.130.180 (13) [Misrepresentation or fraud in any aspect of the profession]	Other:		
Crimina	al Conviction		
RCW 18.130.180 (1) [Act involving moral turpitude, dishonesty or corruption]	RCW 18.130.180 (17)  [Conviction of any gross misdemeanor or felony relating to the practice of the person's profession]		
RCW 18.130.180 (6)  [Possession, use, prescription for use, or distribution of controlled substances or legend drugs]	Other:		
Fee/Billi	ng Complaints		
RCW 18.130.180 (13) [Misrepresentation or Fraud]	WAC 246-808-550 [Future Care Contracts]		
WAC 246-808-400 [Excessive Professional Charges]	WAC 246-808-630 [Full disclosure of cost of services]		
WAC 246-808-540	Other:		
WAC 246-808-545 [Improper Billing Practices]			
Records			
RCW 70.02 [Medical Records – Health Care Information Access and Disclosure]  WAC 246-808-560	WAC 246-808-655 [Duties of a chiropractor who retires or withdraws from practice]  Other:		
[Documentation of Care]  WAC 246-808-650  [Records and x-rays and withdrawal from practice—			
maintenance and retention of patient records]			

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Adve	rtising
RCW 18.130.180 (3) [False, Fraudulent or Misleading Advertising]	WAC 246-808-605 [Honoring of Publicity and Advertisements]
RCW 18.130.180 (13) [Misrepresentation or Fraud]	WAC 246-808-615 [Professional Notices, Letterheads, Cards and Mailings]
WAC 246-808-520 [Identification of Chiropractic Practice]	WAC 246-808-625 [Public Testimonial Advertising]
WAC 246-808-600 [Prohibited Publicity and Advertising]	Other:
Action by a Disc	iplinary Authority
RCW 18.130.180 (5) [Suspension, Revocation or Restriction of License to Practice in any State, Federal or Foreign Jurisdiction]	RCW 18.130.180 (22) [Interference with Investigation or Disciplinary Proceeding]
RCW 18.130.180 (8) [Failure to cooperate w/disciplinary authority]	WAC 246-808-700 [Compliance with Requests of Commission]
RCW 18.130.180 (9)  [Failure to comply with order issued by disciplinary authority]	Other:
Misce	llaneous
RCW 18.130.180 (2) [Misrepresentation or Concealment of a Material Fact in Obtaining a License or in Reinstatement Thereof]	RCW 18.130.180 (21) [Violation of RCW 19.68 – Rebating Prohibited]
in Obtaining a License of in Kemstatement Thereof	RCW 18.130.180 (6)
RCW 18.130.180 (15) [Engaging with Public while Suffering from a	[Possession, Use, Prescription for Use, or Distribution of Controlled Substances or Legend Drugs]
Contagious or Infectious Disease]  RCW 18.130.180 (16)	RCW 18.130.180 (23) [Current Misuse of Alcohol, Controlled Substances or
Promotion for Personal Gain of any Unnecessary or Inefficacious Drug, Device, Treatment, Procedure or	Legend Drugs]
Service]	RCW 18.130.180 (25)
RCW 18.130.180 (18) [Procuring, or Aiding or Abetting in Procuring, a Criminal Abortion]	[Acceptance of More Than a Nominal Gratuity, Hospitality or Subsidy offered by a Representative or Vendor]
	WAC 246-808-215
RCW 18.130.180 (19) [Refusal to Divulge a Method, Means or Procedure for	[Registration of Chiropractic X-ray Technicians]
Curing or Treating a Disease]	Other:
RCW 18.130.180 (20)  [Willful Betraval of a Practitioner-Patient Privilege]	

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### VIII. VIOLATION CATEGORY:

[Refer to Attachment I for further detail]

Please Note: Violations are subje	ect to aggravating and	mitigating factors. [Refer to Attachment D for complete list]
Aggravating Circumstances:		
☐ Severity of Patient Harm ☐ Increased Potential for Public I ☐ Refusal to Acknowledge Nature ☐ Prior Discipline in any Jurisdict	e of Conduct	☐ Economic Harm to Any Individual or Entity ☐ Willful or Reckless Misconduct ☐ Multiple or Repeat Violations ☐ Lack of Rehabilitation Potential
Mitigating Circumstances:		
☐ Isolated Incident, Not Likely to ☐ Absence of Adverse Impact ☐ No Economic Harm ☐ Self Reported a Voluntary Adn		<ul> <li>□ Absence of Prior Discipline</li> <li>□ Implementation of Remedial Measures</li> <li>□ Acceptance and Understanding of Responsibility (Remorse)</li> <li>□ Potential for Remediation</li> </ul>
(If remediation asserted, provi	_ Violations w	f that effort.)  hich are minor in nature, result in minor injury, or create a low as determined by the disciplining authority.
CATEGORY II	<ul> <li>Rc</li> <li>rei</li> <li>Ce</li> <li>Pa</li> <li>Co</li> <li>Re</li> <li>Violations w</li> <li>a moderate r</li> </ul>	quiring the satisfactory completion of a specific program of medial education or treatment insure or reprimand yment of fine for each violation up to \$500 prective action fund of fees billed to and collected from the consumer thich are moderate in nature, result in moderate injury, or create isk of harm as determined by the disciplining authority.
	pa Re Re	spension of the license for 1 month to 5 years (may be totally o rtially stayed) striction or limitation of the practice quiring the satisfactory completion of a specific program of medial education or treatment to monitoring of the practice by a supervisor approved by the

Refund of fees billed and collected from the consumer

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Payment of fine for each violation up to \$2,500

Denial of the license request

Corrective action

disciplining authority
Compliance with conditions of probation for 6 months to 5 years

### CATEGORY III

Violations which are severe in nature, result in severe injury or create a significant risk of harm as determined by the disciplining authority.

- Revocation of the license
- Suspension of the license for 3 years or more (may be totally or partially stayed)
- Restriction or limitation of the practice
- Requiring the satisfactory completion of a specific program of remedial education or treatment
- The monitoring of the practice by a supervisor approved by the disciplining authority
- Compliance with conditions of probation for 3 years or more
- Payment of fine for each violation up to \$5,000
- Denial of the license requests
- Corrective Action
- Refund of fees billed to and collected from the consumer

Refer to Attachment E for Specific Violation Grids.

### DETERMINE CLOSURE STATUS CODE OR REQUESTED LEGAL ACTION CODE AND COMPLETE SECTION II.

## IX. <u>RECOMMENDED DISCIPLINARY SANCTIONS/CONDITIONS</u>: [Check Applicable Sanctions/Conditions]

Core Sanctions:	
Probation	Suspension of License
How Long? Conditions of Probation:	[If suspension is selected, it may be tied in with other sanctions, including fines, training, and restrictions after the suspension has been lifted.]  How Long?  Length of any stay
Revocation of License	Surrender of License
[If revocation is selected, the order must identify a time after which the Respondent may petition for reinstatement. The order may identify other conditions to precede any petition for reinstatement.]	[In lieu of sanctions] [Refer to Guidelines – Attachment F at pgs. 36-37]
Length of Time for Reinstatement	
Censure or Reprimand	
[An expression of displeasure – the mildest of formal action]	·

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Conditions: Completion of Exams Completion of a Specific Program of Remedial Education (Additional CE's over the required 25 Jurisprudence SPEC hours per year) NBCE Ethics & Boundaries Radiology Courses hrs hrs\_ Other: Recordkeeping Courses Clinical Courses (Specify topics below) hrs\_ \_\_\_\_ hrs Ethics & Boundaries Courses Other: Practice Restrictions/Limitations: Fine Patient-Type Restrictions: (Not to exceed \$5,000 per violation) Supervised Structured Environment Supervised Monitoring of Practice Paid within (months/years) Exam Chaperone Notice/Disclosure to Patients Patient Logs Cost Recovery Other: [Not to exceed \$1,000 per violation] Paid within (months/years) Compliance Requirements: Please Note: Cost recovery only for SOA/STID course of action as fines cannot be assessed Quarterly Declarations by Practitioner Treatment Provider Reports How Often? Refund of Fees Unannounced Practice Audits Refunded within Supervisor Reports How Often? (months/years) Please Note: Other: [STID - Fees to Complainant only] [SOC - Fees to Complainant as well as Third Parties] Psychiatric/Psychological/Sexual/Substance Other Sanctions/Conditions: Abuse Evaluation Completion of Remedial Psychotherapy or Counseling

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Length of Time:

	COMMENTS:	
•		
Pres	sented by:	
*****************	Reviewing Commission Member	Date

This document is exempt from public disclosure under RCW 42.17.310 (1).