



## Acupuncture Board



# Uniform Standards Related to Substance Abuse and Recommended Guidelines for Disciplinary Orders and Conditions of Probation

[Additional copies of this document may be obtained by contacting the Board at its office in Sacramento, California or from its web site at \[www.acupuncture.ca.gov\]\(http://www.acupuncture.ca.gov\).](#)

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# Introduction

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The Acupuncture Board (Board) is a consumer protection agency with the primary mission of protecting consumers of acupuncture services from potentially harmful licensees. In keeping with its obligation to protect the consumer, the Board has adopted the following Uniform Standards Related to Substance Abuse and Recommended Guidelines for Disciplinary Orders and Conditions of Probation for violations of the Acupuncture Licensure Act.

The Board carefully considers all facts and circumstances associated with each case in its efforts to protect the consumer. Subsequently, the Board requests that the Administrative Law Judge detail the basis of his or her decision in the "Findings of Fact" when there is a deviation from the recommended guidelines. Justification for the deviation should be clearly outlined in the decision to enable the Board to understand the reasons to evaluate the suitability of the decision.

If at the time of hearing, the Administrative Law Judge finds that the respondent, for any reason, is not capable of safe practice, the Board expects outright revocation of the license. This is particularly true in cases of patient sexual abuse or bodily harm. In less egregious cases, a stayed revocation with probation is recommended.

Suspension of a license may also be appropriate where the public may be better protected if the practice of the acupuncturist is suspended in order to correct deficiencies in skills, education or rehabilitation.

The Board recognizes that a rare individual case may necessitate a departure from these guidelines for disciplinary order. However, in such a rare case, the mitigating circumstances must be detailed in the "Findings of Fact" which is in every Proposed Decision or Stipulation.

If at the time of hearing, the Administrative Law Judge finds that the respondent, for any reason, is not capable of safe practice, the Board expects outright revocation of the license. This is particularly true in cases of patient sexual abuse or bodily harm. In less egregious cases, a stayed revocation with probation pursuant to the attached Penalty Guidelines would be expected.

## UNIFORM STANDARDS RELATED TO SUBSTANCE ABUSE

The following standards shall be adhered to in all cases in which a licensee's license is placed on probation due to a substance abuse problem. These standards are not guidelines and shall be followed in all instances, except that the Board may impose more restrictive conditions if necessary to protect the public.

### Clinical Diagnostic Evaluations:

If a healing arts board orders a licensee who is either in a diversion program or whose license is on probation due to a substance abuse problem to undergo a clinical diagnosis evaluation, the following applies:

1. The clinical diagnostic evaluation shall be conducted by a licensed practitioner who:
  - holds a valid, unrestricted license, which includes scope of practice to conduct a clinical diagnostic evaluation;
  - has three (3) years experience in providing evaluations of health professionals with substance abuse disorders; and,
  - is approved by the board.
2. The clinical diagnostic evaluation shall be conducted in accordance with acceptable professional standards for conducting substance abuse clinical diagnostic evaluations.
3. The clinical diagnostic evaluation report shall:
  - set forth, in the evaluator's opinion, whether the licensee has a substance abuse problem;
  - set forth, in the evaluator's opinion, whether the licensee is a threat to himself/herself or others; and,
  - set forth, in the evaluator's opinion, recommendations for substance abuse treatment, practice restrictions, or other recommendations related to the licensee's rehabilitation and safe practice.

The evaluator shall not have a financial relationship, personal relationship, or business relationship with the licensee within the last five years. The evaluator shall provide an objective, unbiased, and independent evaluation.

If the evaluator determines during the evaluation process that a licensee is a threat to himself/herself or others, the evaluator shall notify the board within 24 hours of such a determination.

For all evaluations, a final written report shall be provided to the board no later than ten (10) days from the date the evaluator is assigned the matter unless the evaluator requests additional information to complete the evaluation, not to exceed 30 days.

### **Work Site Monitor Requirements:**

A board may require the use of worksite monitors. If a board determines that a worksite monitor is necessary for a particular licensee, the worksite monitor shall meet the following requirements to be considered for approval by the board.

1. The worksite monitor shall not have financial, personal, or familial relationship with the licensee, or other relationship that could reasonably be expected to compromise the ability of the monitor to render impartial and unbiased reports to the board. If it is impractical for anyone but the licensee's employer to serve as the worksite monitor, this requirement may be waived by the board; however, under no circumstances shall a licensee's worksite monitor be an employee of the licensee.
2. The worksite monitor's license scope of practice shall include the scope of practice of the licensee that is being monitored, be another health care professional if no monitor with like practice is available, or, as approved by the board, be a person in a position of authority who is capable of monitoring the licensee at work.
3. If the worksite monitor is a licensed healthcare professional he or she shall have an active unrestricted license, with no disciplinary action within the last five (5) years.
4. The worksite monitor shall sign an affirmation that he or she has reviewed the terms and conditions of the licensee's disciplinary order and/or contract and agrees to monitor the licensee as set forth by the board.
5. The worksite monitor must adhere to the following required methods of monitoring the licensee:
  1. Have face-to-face contact with the licensee in the work environment on a frequent basis as determined by the board, at least once per week.
  - b) Interview other staff in the office regarding the licensee's behavior, if applicable.
  2. Review the licensee's work attendance.

Reporting by the worksite monitor to the board shall be as follows:

1. Any suspected substance abuse must be verbally reported to the board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the

board's normal business hours the verbal report must be within one (1) hour of the next business day. A written report shall be submitted to the board within 48 hours of occurrence.

2. The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include:
  - the licensee's name;
  - license number;
  - worksite monitor's name and signature;
  - worksite monitor's license number;
  - worksite location(s);
  - dates licensee had face-to-face contact with monitor;
  - staff interviewed, if applicable;
  - attendance report;
  - any change in behavior and/or personal habits;
  - any indicators that can lead to suspected substance abuse.

The licensee shall complete the required consent forms and sign an agreement with the worksite monitor and the board to allow the board to communicate with the worksite monitor.

### **Test Positive for Banned Substance(s)**

When a licensee tests positive for a banned substance:

1. The board shall order the licensee to cease practice;
2. The board shall contact the licensee and instruct the licensee to leave work; and
3. The board shall notify the licensee's employer, if any, and worksite monitor, if any, that the licensee may not work.

Thereafter, the board should determine whether the positive drug test is in fact evidence of prohibited use. If so, proceed to Standard #9. If not, the board shall immediately lift the cease practice order.

In determining whether the positive test is evidence of prohibited use, the board should, as applicable:

1. Consult the specimen collector and the laboratory;
2. Communicate with the licensee and/or any physician who is treating the licensee; and
3. Communicate with any treatment provider, including group facilitator/s.

## **Major and Minor Violations**

Major Violations include, but are not limited to, the following:

1. Failure to complete a board-ordered program;
2. Failure to undergo a required clinical diagnostic evaluation;
3. Multiple minor violations;
4. Treating patients while under the influence of drugs/alcohol;
5. Any drug/alcohol related act which would constitute a violation of the practice act or state/federal laws;
6. Failure to obtain biological testing for substance abuse;
7. Testing positive and confirmation for substance abuse pursuant to Uniform Standard #9;
8. Knowingly using, making, altering or possessing any object or product in such a way as to defraud a drug test designed to detect the presence of alcohol or a controlled substance.

Consequences for a major violation include, but are not limited to:

1. Licensee will be ordered to cease practice.
  - a) the licensee must undergo a new clinical diagnostic evaluation, and
  - b) the licensee must test negative for at least a month of continuous drug testing before being allowed to go back to work.
2. Termination of a contract/agreement.
3. Referral for disciplinary action, such as suspension, revocation, or other action as determined by the board.

Minor Violations include, but are not limited to:

1. Untimely receipt of required documentation;
2. Unexcused non-attendance at group meetings;
3. Failure to contact a monitor when required;
4. Any other violations that do not present an immediate threat to the violator or to the public.

Consequences for minor violations include, but are not limited to:

1. Removal from practice;
2. Practice limitations;
3. Required supervision;

4. Increased documentation;
5. Issuance of citation and fine or a warning notice;
6. Required re-evaluation/testing;
7. Other action as determined by the board.

**Drug Testing Standards:**

The following standards shall govern all aspects of testing required to determine abstention from alcohol and drugs for any person whose license is placed on probation or in a diversion program due to substance use:

**TESTING FREQUENCY SCHEDULE**

A board may order a licensee to drug test at any time. Additionally, each licensee shall be tested RANDOMLY in accordance with the schedule below:

<u>Level</u>	<u>Segments of Probation/Diversion</u>	<u>Minimum Range of Number of Random Tests</u>
<u>I</u>	<u>Year 1</u>	<u>52-104 per year</u>
<u>II*</u>	<u>Year 2+</u>	<u>36-104 per year</u>

\*The minimum range of 36-104 tests identified in level II, is for the second year of probation or diversion, and each year thereafter, up to five (5) years. Thereafter, administration of one (1) time per month if there have been no positive drug tests in the previous five (5) consecutive years of probation or diversion.

Nothing precludes a board from increasing the number of random tests for any reason. Any board who finds or has suspicion that a licensee has committed a violation of a board’s testing program or who has committed a Major Violation, as identified in Uniform Standard 10, may reestablish the testing cycle by placing that licensee at the beginning of level I, in addition to any other disciplinary action that may be pursued.

**EXCEPTIONS TO TESTING FREQUENCY SCHEDULE**

- I. PREVIOUS TESTING/SOBRIETY In cases where a board has evidence that a licensee has participated in a treatment or monitoring program requiring random testing, prior to being subject to testing by the board, the board may give consideration to that testing in altering the testing frequency schedule so that it is equivalent to this standard.
- II. VIOLATION(S) OUTSIDE OF EMPLOYMENT An individual whose license is placed on probation for a single conviction or incident or two convictions or incidents, spanning greater than seven years from each other, where those violations did not occur at work or while on the licensee’s way to work, where alcohol or drugs were a contributing factor, may bypass level I and participate in level II of the testing



frequency schedule.

- III. NOT EMPLOYED IN HEALTH CARE FIELD A board may reduce testing frequency to a minimum of 12 times per year for any person who is not practicing OR working in any health care field. If a reduced testing frequency schedule is established for this reason, and if a licensee wants to return to practice or work in a health care field, the licensee shall notify and secure the approval of the licensee's board. Prior to returning to any health care employment, the licensee shall be subject to level I testing frequency for at least 60 days. At such time the person returns to employment (in a health care field), if the licensee has not previously met the level I frequency standard, the licensee shall be subject to completing a full year at level I of the testing frequency schedule, otherwise level II testing shall be in effect.
- IV. TOLLING A board may postpone all testing for any person whose probation or diversion is placed in a tolling status if the overall length of the probationary or diversion period is also tolled. A licensee shall notify the board upon the licensee's return to California and shall be subject to testing as provided in this standard. If the licensee returns to employment in a health care field, and has not previously met the level I frequency standard, the licensee shall be subject to completing a full year at level I of the testing frequency schedule, otherwise level II testing shall be in effect.
- V. SUBSTANCE USE DISORDER NOT DIAGNOSED In cases where no current substance use disorder diagnosis is made, a lesser period of monitoring and toxicology screening may be adopted by the board, but not to be less than 24 times per year.

### OTHER DRUG STANDARDS

Drug testing may be required on any day, including weekends and holidays.

The scheduling of drug tests shall be done on a random basis, preferably by a computer program, so that a licensee can make no reasonable assumption of when he/she will be tested again. Boards should be prepared to report data to support back-to-back testing as well as, numerous different intervals of testing.

Licensees shall be required to make daily contact to determine if drug testing is required.

Licensees shall be drug tested on the date of notification as directed by the board.

Specimen collectors must either be certified by the Drug and Alcohol Testing Industry Association or have completed the training required to serve as a collector for the U.S. Department of Transportation.

Specimen collectors shall adhere to the current U.S. Department of Transportation Specimen Collection Guidelines.

Testing locations shall comply with the Urine Specimen Collection Guidelines published by the

U.S. Department of Transportation, regardless of the type of test administered.

Collection of specimens shall be observed.

Prior to vacation or absence, alternative drug testing location(s) must be approved by the board.

Laboratories shall be certified and accredited by the U.S. Department of Health and Human Services.

A collection site must submit a specimen to the laboratory within one (1) business day of receipt. A chain of custody shall be used on all specimens. The laboratory shall process results and provide legally defensible test results within seven (7) days of receipt of the specimen. The appropriate board will be notified of non-negative test results within one (1) business day and will be notified of negative test results within seven (7) business days.

A board may use other testing methods in place of, or to supplement biological fluid testing, if the alternate testing method is appropriate.

#### **PETITIONS FOR REINSTATEMENT**

Nothing herein shall limit a board's authority to reduce or eliminate the standards specified herein pursuant to a petition for reinstatement or reduction of penalty filed pursuant to Government Code section 11522 or statutes applicable to the board that contains different provisions for reinstatement or reduction of penalty.

#### **OUTCOMES AND AMENDMENTS**

For purposes of measuring outcomes and effectiveness, each board shall collect and report historical and post implementation data as follows:

##### **Historical Data - Two Years Prior to Implementation of Standard**

Each board should collect the following historical data (as available), for a period of two years, prior to implementation of this standard, for each person subject to testing for banned substances, who has 1) tested positive for a banned substance, 2) failed to appear or call in, for testing on more than three occasions, 3) failed to pay testing costs, or 4) a person who has given a dilute or invalid specimen.

##### **Post Implementation Data- Three Years**

Each board should collect the following data annually, for a period of three years, for every probationer and diversion participant subject to testing for banned substances, following the implementation of this standard.

##### **Data Collection**

The data to be collected shall be reported to the Department of Consumer Affairs and the Legislature, upon request, and shall include, but may not be limited to:

Probationer/Diversion Participant Unique Identifier

License Type  
Probation/Diversion Effective Date  
General Range of Testing Frequency by/for Each Probationer/Diversion Participant  
Dates Testing Requested  
Dates Tested  
Identify the Entity that Performed Each Test  
Dates Tested Positive  
Dates Contractor (if applicable) was informed of Positive Test  
Dates Board was informed of Positive Test  
Dates of Questionable Tests (e.g. dilute, high levels)  
Date Contractor Notified Board of Questionable Test  
Identify Substances Detected or Questionably Detected  
Dates Failed to Appear  
Date Contractor Notified Board of Failed to Appear  
Dates Failed to Call In for Testing  
Date Contractor Notified Board of Failed to Call In for Testing  
Dates Failed to Pay for Testing  
Date(s) Removed/Suspended from Practice (identify which)  
Final Outcome and Effective Date (if applicable)

## Considerations

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In determining whether revocation, suspension or probation is to be imposed in a given case, factors such as the following should be considered:

1. Nature and severity of the act(s), offenses, or crime(s) under consideration.
2. Actual or potential harm to the public.
3. Actual or potential harm to any patient.
4. Prior disciplinary record.
5. Number and/or variety of current violations.
6. Mitigation evidence.
7. Rehabilitation evidence.
8. In case of a criminal conviction, compliance with conditions of sentence and/or court-ordered probation.
9. Overall criminal record.
10. Time passed since the act(s) or offense(s) occurred.
11. If applicable, evidence of expungement proceedings pursuant to Penal Code Section 1203.4.

# Situations in which Revocation is the Recommended Penalty

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In addition to violation of the Acupuncture Licensure Act, there are other circumstances that necessitate revocation as the recommended penalty.

1. Failure to file a notice of defense or to appear at a disciplinary hearing, where the Board has requested revocation.
2. Violation of the conditions of a respondent's probation order.
3. Substantiated evidence or convictions of physical abuse and/or sexual offenses.
4. Patient neglect by failure to provide standard of care as an acupuncturist.
5. Second offenses, unless the respondent can demonstrate that he or she has been rehabilitated.

# Recommended Action by Violation

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The Acupuncture Licensure Act (Business and Professions Code, Division 2, Chapter 12) and general provision sections of the Business and Professions Code specify the offenses for which the Board may take disciplinary action. Below are the code sections with the recommended disciplinary actions listed by the degree of the offense.

When filing an Accusation, the Office of the Attorney General may also cite additional related statutes and regulations.

\*Note: Under conditions of probation you will find the applicable numbered conditions to include in a decision and order.

## Acupuncture Licensure Act

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### Unprofessional Conduct

**Section 4955 (a)** **Using or possessing any controlled substance, or dangerous drug or alcoholic beverage to an extent or in a manner dangerous to himself or herself, or to any other person, or to the public, and to an extent that the use impairs his or her ability to engage in the practice of acupuncture with safety to the public.**

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation stayed with 3- 5 yrs probation depending on nature and severity of violation*

1. *Standard Conditions 1-13*
2. *Alcohol and Drug Abuse Treatment (21)*
3. *Abstain from Drugs and Alcohol and Submit to Tests and Samples (22)*
4. *Clinical Diagnostic Evaluation (29)*
5. *Worksite Monitor (30)*
6. *Ethics Course (23)*

**Section 4955 (b)** **Conviction of a Crime**

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation stayed with 5 yrs probation*

1. *Standard Conditions 1-13*

2. Actual Suspension for 180 days (14)
  3. Ethics Course (23)
  4. Community Service (27)
- \* In conjunction with Section 4956

**Section 4955 (c) False or Misleading Advertising**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 yrs probation
1. Standard Conditions 1-13

**Section 4955 (d) Aiding or Abetting, or Violating Terms of this Chapter or Any Board Regulation**

- Maximum Penalty: Revocation
  - Minimum Penalty: When section is used for citing the violation of aiding and abetting an unlicensed person, revocation is the minimum penalty. Otherwise, minimum penalty is revocation stayed with 3 yrs probation with the following conditions:
1. Standard Conditions 1-13

**Section 4955 (e) Failing to Follow Infection Control Guidelines**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation
1. Standard Conditions 1-13
  2. Actual Suspension (14)
  3. Practice Monitoring (17)
  4. Ethics Course (23)
  5. Coursework (26)

**Section 4955 (f) The Use of Threats or Harassment Against a Licensee/Patient**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 5 yrs probation
1. Standard Conditions 1-13
  2. Actual Suspension for 180 days (14)
  3. Ethics Course (23)

**Section 4955 (g) Discharging an Employee for Complying with this Chapter**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 yrs probation
  1. Standard Conditions 1-13
  2. Ethics Course (23)

**Section 4955 (h) Disciplinary Action Taken by Any Public Agency**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 yrs probation
  1. Standard Conditions 1-13

**Section 4955 (i) Action or Conduct that Warrants a Denial of License**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 yrs probation
  1. Standard Conditions 1-13
  2. Any additional conditions warranted by nature and severity of action or conduct.

**Section 4955 (j) Violation of Any Law or Local Ordinance on Business Premises**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation
  1. Standard Conditions 1-13
  2. Ethics Course (23)

**Section 4955 (k) Abandonment of Patient without Written Notice**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 yrs probation
  1. Standard Conditions 1-13
  2. Ethics Course (23)



**Section 4955.1 (l) Failure to Notify Board of False/Assumed/Fictitious Name**

- Maximum Penalty: *Revocation*
  - Minimum Penalty: *Revocation stayed with 3 yrs probation*
1. Standard Conditions 1-13

**Fraud**

**Section 4955.1 (a) Securing a License by Fraud or Deceit**

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation*

**Section 4955.1 (b) Committing a Fraudulent or Dishonest Act as an Acupuncturist**

- Maximum Penalty: *Revocation*
  - Minimum Penalty: *Revocation stayed with 5 yrs probation*
1. Standard Conditions 1-13
  2. Actual Suspension for 180 days (14)
  3. Monitoring – Practice/Billing (17)
  4. Ethics Course (23)
  5. Community Service (27)

**Section 4955.1 (c) Any Act Involving Dishonesty or Corruption**

- Maximum Penalty: *Revocation*
  - Minimum Penalty: *Revocation stayed with 5 yrs probation*
1. Standard Conditions 1-13
  2. Actual Suspension for 180 days (14)
  3. Monitoring – Practice/Billing (17)
  4. Ethics Course (23)
  5. Community Service (27)

**Section 4955.1 (d) Altering/Modifying a Medical Record or Creating a False Medical Record**

- Maximum Penalty: *Revocation*
  - Minimum Penalty: *Revocation stayed with 5 yrs probation*
1. Standard Conditions 1-13

2. Actual Suspension for 180 days (14)
3. Monitoring – Practice/Billing (17)
4. Ethics Course (23)
5. Coursework (26)

**Section 4955.1 (e) Failing to Maintain Adequate and Accurate Records**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 yrs probation
1. Standard Conditions 1-13
  2. Monitoring – Practice/Billing (17)
  3. Ethics Course (23)
  4. Coursework (26)

**Negligence**

**Section 4955.2 (a) Gross Negligence**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation
1. Standard Conditions 1-13
  2. Actual Suspension (14)
  3. Monitoring – Practice/Billing (17)
  4. Coursework (26)
  5. Prohibited Practice (27)
  6. Clinical Training Program at Approved School (28)

**Section 4955.2 (b) Repeated Negligent Acts**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation
1. Standard Conditions 1-13
  2. Actual Suspension (14)
  3. Monitoring – Practice/Billing (17)
  4. Coursework (26)
  5. Prohibited Practice (27)
  6. Clinical Training Program at Approved School (28)

**Section 4955.2 (c) Incompetence**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation
  1. Standard Conditions 1-13
  2. Actual Suspension (14)
  3. Monitoring – Practice/Billing (17)
  4. Examination (20)
  5. Coursework (26)
  6. Prohibited Practice (27)
  7. Clinical Training Program at Approved School (28)

**Section 4961 (a) Failure to Register Place of Practice**

- Refer to Section 4955 (d)

**Unprofessional Conduct**

**Section 4976 Violating the Terms of this Chapter, Regulations, or Moscone-Knox Professional Corporation Act**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation stayed with 3 yrs probation
  1. Standard Conditions 1-13

# General Business and Professions Code Provisions

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## Section 125 Misdemeanor Offenses by Licensees

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation stayed with 3 yrs probation*
  1. Standard Conditions 1-13
  2. Actual Suspension (14)

## Section 125.6 Refusal to Treat Patient

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation stayed with 3 yrs probation*
  1. Standard Conditions 1-13
  2. Ethics Course (23)

## Section 125.9 Failure to Comply with Citation

- Maximum Penalty: *Revocation*
- Minimum Penalty: *Revocation stayed with 3 yrs probation*
  1. Standard Conditions 1-13
  2. Compliance with citation, if applicable

## Section 480 Denial of a License

- Maximum Penalty: *Denial of license*
- Minimum Penalty: *Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation*
  1. Standard Conditions 1-13

## Section 492 Effect of Completion of Drug Diversion Program on Disciplinary Action or Denial of License

## Section 493 Evidentiary Effect of Record of Conviction of Crime Substantially Related to Licensee's Qualifications, Functions, and Duties

## Section 496 Subversion of Licensing Examinations

- Maximum Penalty: Denial of license or Suspension
- Minimum Penalty: Revocation if subversion was intentional and  
revocation stayed with 5 yrs probation if  
subversion was due to negligence with standards and  
conditions listed below:
  1. Standard Conditions 1-13
  2. Actual Suspension for 60 days (14)
  3. Ethics Course (23)

**Section 498      Securing License by Fraud, Deceit, or Misrepresentation**

- Maximum Penalty: Denial of license, Suspension, or Revocation
- Minimum Penalty: Revocation

**Section 650      Accepting or Receiving Rebates**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 yrs probation
1. Standard Conditions 1-13
  2. Ethics Course (23)

**Section 651      False, Misleading or Deceptive Public Communications**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 yrs probation
1. Standard Conditions 1-13

**Section 654.2      Prohibits Charges, Billings, Solicitations or Referrals without Disclosure of Beneficial Interest**

- Maximum Penalty: Revocation
  - Minimum Penalty: Revocation stayed with 3 yrs probation
1. Standard Conditions 1-13
  2. Ethics Course (23)

**Section 726      Commission of Act of Sexual Abuse or Misconduct with Patient**

- Maximum Penalty: Revocation
- Minimum Penalty: Revocation

**Section 810 Insurance Fraud**

- Maximum Penalty: *Revocation*
  - Minimum Penalty: *Revocation stayed with 5 yrs probation*
1. Standard Conditions 1-13
  2. Actual Suspension for 180 days (14)
  3. Billing Monitor (17)
  4. Ethics Course (23)
  5. Coursework (26)

**Section 822 Psychological or Physical Illness**

- Maximum Penalty: *Revocation or Suspension*
  - Minimum Penalty: *Revocation stayed with 3 – 5 yrs probation depending on nature and severity of violation*
1. Standard Conditions 1-13
  2. Actual Suspension (14)
  3. Psychological Evaluation (15)
  4. Physical Examination (16)
  5. Practice Monitor (17)
  6. No Solo Practice (19)

# Probationary Terms and Conditions

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As part of the Board's mission to protect the consumer, any disciplinary order in which probation is imposed should include conditions that ensure the rehabilitation of a probationer. The following conditions the Board has established function as a method to monitor the progress of a probationer's rehabilitation.

To enhance the clarity of a proposed decision or stipulation, the Board requests that all *optional additional* conditions that are being imposed be listed first in sequence followed immediately by all of the *standard* conditions.

For purposes of implementation of these conditions of probation, any reference to the Board also means staff working for the Acupuncture Board.

## **Probationary Term**

The Board generally recommends a minimum probation term of three (3) years. The term may be increased depending upon the severity of the violation(s) and time in which rehabilitation can be achieved. In some instances five years may be appropriate depending on nature and severity of violation.

## **Probationary Conditions**

Conditions of probation are divided into two categories:

1. *Standard* conditions that are included in all probation orders; and
2. *Additional* conditions that are applicable to the nature of the violation(s) which will allow the probationer to rehabilitate.

## Language for Probation Orders

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When a stipulated settlement or proposed decision orders probationary terms and conditions, the Board recommends the following language be included:

- Licensees: Acupuncture license no. AC-\_\_\_\_\_ , issued to respondent \_\_\_\_\_ , is hereby revoked; however, the revocation is stayed and respondent's license is placed on probation for \_\_\_\_\_ years on the following terms and conditions.
- Applicants: The application of respondent \_\_\_\_\_ for licensure is hereby granted, however the license shall be immediately revoked, the order of revocation stayed, and respondent's license placed on probation for a period of \_\_\_\_\_ years on the following conditions:
- Reinstatements: The petition of \_\_\_\_\_ for reinstatement of his or her acupuncture license is hereby GRANTED, as follows.

Acupuncture license number AC-\_\_\_\_\_ is reinstated. The license will then be immediately revoked; however, the revocation is stayed for \_\_\_\_\_ years on the following terms and conditions:

In cases in which petitioners for reinstatement have not practiced acupuncture in the state of California for an extended amount of time, they must retake the licensing exam before reinstatement. This information must be provided to the Administrative Law Judge so that he or she can include: "Upon successful completion of the licensure examination, a license shall be issued to respondent."

**NOTE:** If cost recovery was ordered in the revocation or surrender of a license and the cost recovery has not been paid in full by petitioner, a probation condition requiring payment of original cost recovery on a payment plan must be included in the reinstatement and decision.



# List of Probation Conditions

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## STANDARD PROBATION CONDITIONS

Introductory Language and Conditions 1-13 are required as follows:

- |  |  |
|--|--|
| <u>1) Severability Clause</u>  | <u>8) Employment and Supervision of Trainees</u>       |
| <u>2) Obey all Laws</u>  | <u>9) Cost Recovery (Does not apply to Applicants)</u> |
| <u>3) Quarterly Reports</u>  | <u>10) Probation Monitoring Costs</u>                  |
| <u>4) Surveillance Program</u>   | <u>11) Violation of Probation</u>                      |
| <u>5) Interview with the Board or its Designee</u>                     | <u>12) License Surrender</u>                           |
| <u>6) Notification to Employer and Changes of Employment</u>           | <u>13) Completion of Probation</u>                     |
| <u>7) Status of Residency, Practice, or Licensure Outside of State</u> |  |

## ADDITIONAL PROBATION CONDITIONS

In addition to the standard conditions (1-13), conditions 14-31 are required if the offense involves one of the following: sexual misconduct, alcohol/drug abuse, mental/physical disabilities, fraudulent conduct, or lack of knowledge or skills. Any of these additional conditions may be included if relevant to the violation.

- |   |   |
|---|---|
| <u>14) Actual Suspension</u>  | <u>23) Ethics Course</u>                                |
| <u>15) Psychological Evaluation</u>                                       | <u>24) Professional Boundaries Program</u>              |
| <u>16) Physical Examination</u>   | <u>25) Third Party Chaperone</u>                        |
| <u>17) Monitoring – Practice/Billing</u>                                  | <u>26) Coursework</u>                                   |
| <u>18) Restriction of Patient Population</u>                              | <u>27) Community Service</u>                            |
| <u>19) No Solo Practice</u>   | <u>28) Prohibited Practice</u>                          |
| <u>20) Examination</u>  | <u>29) Clinical Training Program at Approved School</u> |
| <u>21) Alcohol and Drug Abuse Treatment</u>                               | <u>30) Clinical Diagnostic Evaluation</u>               |
| <u>22) Abstain from Drugs and Alcohol and Submit to Tests and Samples</u> | <u>31) Worksite Monitor</u>                             |

# Standard Probation Conditions

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## 1. Severability Clause

Each condition of probation is a separate and distinct condition. If any condition of this Decision and Order, or any application thereof, is declared unenforceable in whole, in part, or to any extent, the remainder of this Decision and Order, and all other applications thereof, shall not be affected. Each condition of this Decision and Order shall separately be valid and enforceable to the fullest extent permitted by law.

***Rationale:** The severability clause is required for all decisions and orders and stipulated agreements where there are conditions of probation, to avoid the possibility of all probation conditions being invalidated upon a successful appeal.*

## 2. Obey All Laws

Respondent shall obey all federal, state and local laws and all regulations governing the practice of acupuncture in California. A full and detailed account of any and all violations of law shall be reported by the respondent to the Board in writing within seventy-two (72) hours of occurrence.

***Rationale:** If there has been a violation of any law or regulation that is substantially related to the qualifications, functions, or duties of an acupuncturist, this would constitute a violation of respondent's probation and allow the Board to carry out the disciplinary order.*

## 3. Quarterly Reports

Respondent shall report to the board quarterly. The report shall be made either in person or in writing, as directed. Respondent shall state under penalty of perjury whether there has been compliance with all the terms and conditions of probation. If the final probation report is not made as directed, probation shall be extended automatically until such time as the final report is made and accepted by the board.

***Rationale:** By the respondent making declarations under penalty of perjury, this assures the Board that the respondent is making true statements to the Board. Receiving these reports quarterly allows the Board to track the respondent's compliance, and offers a process for review in determining whether or not his or her license should be restored at the completion of his or her probation.*

## 4. Surveillance Program

Respondent shall comply with the Board's probation surveillance program and shall, upon reasonable notice, report to the Board's staff. Respondent shall contact enforcement staff

regarding any questions specific to the probation order. Respondent shall not have any unsolicited or unapproved contact with victims or complainants associated with the case or persons serving the Board as expert consultants.

***Rationale:** It is in the best interest for all parties involved to allow for the respondent to contact the Board's staff in case he or she has a question regarding his or her probation order.*

## **5. Interview with the Board or its Designee**

Respondent shall appear in person or be available by telephone for interviews with the Board or its designee upon request at various intervals and with reasonable notice.

***Rationale:** This condition allows the Board to schedule in-person interviews or inspections of respondent's place of practice to monitor his or her compliance with the probation order to ensure rehabilitation.*

## **6. Notification to Employer and Changes of Employment**

If Respondent is currently employed, in the process of applying for employment, or contracted to provide services as an acupuncturist, he or she shall provide a copy of the Board's Decision to his or her employer, supervisor or contractor no later than the effective date of the Board's Decision. The respondent shall notify any future employers, supervisors or contractors of his or her probationary status with the Board prior to accepting such employment. The respondent shall provide to the Board the names, physical addresses, and telephone numbers of all employers, supervisors and contractors.

Respondent shall complete the required consent forms and sign an agreement with the employer and supervisor, or contractor, and the Board to allow the Board to communicate with the employer and supervisor or contractor.

Respondent shall cause each employer and supervisor or contractor to submit quarterly written declarations to the Board. These declarations shall include a performance evaluation.

Respondent shall notify the Board, in writing, of any change in his or her employment status, within ten (10) days of such change.

***Rationale:** Respondent's license being placed on probation shows the Board that his or her conduct is in need of rehabilitation, subsequently, respondent's deficiencies should be noted to the employer as to protect the health and welfare of the public. This condition allows the Board to be informed of respondent's current employment information, including his or her business address, phone number, and employer (if applicable) in the event the Board needs to locate the respondent or communicate with his or her employer.*

## **7. Status of Residency, Practice, or Licensure Outside of State**

In the event respondent should leave California to reside or practice outside the state,

respondent must provide written notification to the Board of the dates of departure and anticipated return to the state. Respondent's probation is tolled, if and when he or she ceases practicing in California. Period of practice outside of California will not apply to the reduction of the probationary period.

Respondent shall provide a list of all states, United States territories, and elsewhere in the world where he or she has ever been licensed as an acupuncturist or held any health-care related professional license or certificate. Respondent shall further provide information regarding the status of each license and certificate and any changes in the license or certificate status during the term of probation. Respondent shall inform the Board if he or she applies for or obtains a license outside of California during the term of probation

For purposes of this condition, non-practice due to Board ordered suspension or in compliance with any other condition of probation, shall not be considered a period of non-practice.

*Rationale: Ensures that respondents may not complete probation without being fully monitored for his or her period of probation in California. This further ensures that the Board is aware of all licensure outside of California as an acupuncturist or in any health care related capacity.*

## **8. Employment and Supervision of Trainees**

Respondent shall not employ or supervise or apply to employ or supervise acupuncture trainees during the course of this probation. Respondent shall terminate any such supervisorial relationship in existence on the effective date of this probation.

*Rationale: Respondent's license being placed on probation shows the Board that his or her conduct is in need of rehabilitation, subsequently, respondent's deficiencies do not demonstrate a professional with mentoring capabilities at the time of probation.*

## **9. Cost Recovery**

Respondent shall pay to the Board its costs of investigation and enforcement in the amount of \$\_\_\_\_\_. Respondent shall be permitted to pay these costs in a payment plan approved by the Board, with payments to be completed no later than three months prior to the end of the probation term.

*Rationale: The Board incurs costs associated with the investigation and disciplinary process; this condition requires the respondent to reimburse the Board for those expenditures.*

## **10. Probation Monitoring Costs**

Respondent shall pay the costs associated with probation monitoring each and every year of probation, as designated by the Board, which may be adjusted on an annual basis. Such costs shall be payable to the Acupuncture Board and delivered to the Board or its designee no later than January 31 of each calendar year. Failure to pay costs within 30 calendar days of the due

date is a violation of probation.

***Rationale:** Periodically, the Board incurs expenditures associated with the necessary travel to meet with respondent to monitor his or her probation compliance; this condition requires the respondent to reimburse the Board for those costs.*

## **11. Violation of Probation**

If respondent violates probation in any respect, the Board may, after giving respondent notice and the opportunity to be heard, revoke probation and carry out the disciplinary order that was stated. If an accusation or petition to revoke probation is filed against respondent during probation, the Board shall have continuing jurisdiction until the matter is final, and the period of probation shall be extended until the matter is final. No petition for modification or termination of probation shall be considered while there is an accusation or petition to revoke probation pending against respondent.

If a respondent has not complied with any term or condition of probation, the board shall have continuing jurisdiction over respondent, and probation shall automatically be extended until all terms and conditions have been satisfied or the board has taken other action as deemed appropriate to treat the failure to comply as a violation of probation, to terminate probation, and to impose the penalty which was stayed.

***Rationale:** This condition allows the Board to carry out the disciplinary order stated in the decision when a respondent fails to comply with any of his or her probation conditions. If a term or condition has not been complied with, this condition allows the Board to extend the probation period to obtain compliance.*

## **12. License Surrender**

During respondent's term of probation, if he or she ceases practicing due to retirement, health reasons or is otherwise unable to satisfy the conditions of probation, respondent may surrender his or her license to the Board. The Board reserves the right to evaluate respondent's request and to exercise its discretion whether to grant the request, or to take any other action deemed appropriate and reasonable under the circumstances, without further hearing. Upon formal acceptance of the license and wall certificate, respondent will no longer be subject to the conditions of probation.

Surrender of respondent's license shall be considered a disciplinary action and shall become a part of respondent's license history with the Board. An acupuncturist whose license has been surrendered may petition the Board for reinstatement no sooner than three years.

***Rationale:** If respondent feels he or she cannot follow any one of the conditions of the probation order due to a discontinuance of practice, this condition gives him or her the option to voluntarily forfeit his or her license.*

## **13. Completion of Probation**

Upon successful completion of probation, respondent's license will be fully restored.

***Rationale:*** *When the respondent has completed his or her term of probation by successfully fulfilling all of the conditions, he or she has demonstrated his or her ability to practice unrestricted.*

## Additional Probation Conditions

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### 14. Actual Suspension

As part of the probation, respondent is suspended from the practice of acupuncture for \_\_\_\_\_ days beginning with the effective date of this decision.

*Rationale: Restricting respondent's practice of acupuncture for a limited amount of time offers an additional penalty and an opportunity for respondent to satisfy other conditions that are primary.*

### 15. Psychological Evaluation

Within 90 days of the effective date of this decision and on a periodic basis thereafter as may be required by the Board or its designee, respondent shall undergo a psychological evaluation (and psychological testing, if deemed necessary) by a Board appointed California licensed psychologist. The Board shall receive a current DSM diagnosis and a written report regarding the respondent's judgment and/or ability to function independently as an acupuncturist with safety to the public, and whatever other information the Board deems relevant to the case. Respondent shall execute a release authorizing the evaluator to release all information to the Board. The completed evaluation is the sole property of the Board.

If the Board concludes from the results of the evaluation that respondent is unable to practice independently and safely, he/she shall immediately cease practice and shall not resume practice until notified by the Board. If the Board concludes from the results of the evaluation that respondent would benefit from ongoing psychotherapy, respondent shall comply with the Board's directives in that regard.

Respondent shall pay all costs associated with the psychological evaluation. Failure to pay costs will be considered a violation of the probation order.

*Rationale: Psychological evaluations shall be utilized when an offense calls into question the judgment and/or emotional and/or mental condition of the respondent or where there has been a history of abuse or dependency of alcohol or controlled substances. When appropriate, respondent shall be barred from rendering acupuncture services under the terms of probation until he or she has undergone an evaluation, the evaluator has recommended resumption of practice, and the Board has accepted and approved the evaluation.*

### 16. Physical Examination

Within 90 days of the effective date of this decision, respondent shall undergo a physical examination by a licensed physician and surgeon approved by the Board. Respondent shall

bear all costs of such an examination. The Board shall receive the physician's report which shall provide an assessment of respondent's physical condition and capability to safely provide acupuncture services. If medically determined, a recommended treatment program will be instituted and followed by the respondent with the physician providing written progress reports to the Board on a quarterly basis or as otherwise determined by the Board.

It shall be the respondent's responsibility to assure that the required progress reports are filed in a timely manner.

*Rationale: This condition permits the Board to require the probationer to obtain appropriate treatment for physical problems/disabilities which could affect safe practice of acupuncture. The physical examination can also be conducted to ensure that there is no physical evidence of alcohol/drug abuse.*

## **17. Monitoring – Practice/Billing**

Within 30 calendar days of the effective date of this Decision, respondent shall submit to the Board or its designee for prior approval as a \_\_\_\_\_ (i.e., practice, billing, or practice and billing) monitor(s), the name and qualifications of one or more licensed acupuncturists whose license is valid and in good standing. A monitor shall have no prior or current business or personal relationship with respondent, or other relationship that could reasonably be expected to compromise the ability of the monitor to render fair and unbiased reports to the Board, and must agree to serve as respondent's monitor. Respondent shall pay all monitoring costs.

The Board or its designee shall provide the approved monitor with copies of the Decision(s) and Accusation(s), and a proposed monitoring plan. Within 15 calendar days of receipt of the Decision(s), Accusation(s), and proposed monitoring plan, the monitor shall submit a signed statement that the monitor has read the Decision(s) and Accusation(s), fully understands the role of a monitor, and agrees or disagrees with the proposed monitoring plan. If the monitor disagrees with the proposed monitoring plan, the monitor shall submit a revised monitoring plan with the signed statement.

Within 60 calendar days of the effective date of this Decision, and continuing throughout probation, respondent's \_\_\_\_\_ (i.e., practice, billing, or practice and billing) shall be monitored by the approved monitor. Respondent shall make all records available for immediate inspection and copying on the premises by the monitor at all times during business hours and shall retain the records for the entire term of probation.

The monitor(s) shall submit a quarterly written report to the Board or its designee which includes an evaluation of respondent's performance, indicating whether respondent's practices are within the standards of practice of acupuncture or billing, or both, and whether respondent is practicing acupuncture safely, billing appropriately or both. It shall be the sole responsibility of respondent to ensure that the monitor submits the quarterly written reports to the Board quarterly.



If the monitor resigns or is no longer available, respondent shall, within 5 calendar days of such resignation or unavailability, submit to the Board or its designee, for prior approval, the name and qualifications of a replacement monitor who will be assuming that responsibility within 15 calendar days. If respondent fails to obtain approval of a replacement monitor within 60 days of the resignation or unavailability of the monitor, respondent shall be suspended from the practice of acupuncture until a replacement monitor is approved and prepared to assume immediate monitoring responsibility. Respondent shall cease the practice of acupuncture within 3 calendar days after being so notified by the Board of designee.

Failure to maintain all records, or to make all appropriate records available for immediate inspection and copying on the premises, or to comply with this condition as outlined above is a violation of probation.

***Rationale:** Monitoring shall be utilized when respondent's ability to function independently is in doubt, as a result of a deficiency in knowledge or skills, or as a result of questionable judgment.*

## **18. Restriction of Patient Population**

During probation respondent is prohibited from practicing acupuncture and any other modality cited in Business and Professions Code Section 4937 on (a specific population group).

***Rationale:** In cases wherein some factor of the patient population at large (e.g. age, gender) may put a patient at risk if in treatment with the respondent, this condition should be utilized. Additional language can be added for clarification.*

## **19. No Solo Practice**

Respondent is prohibited from engaging in the solo practice of acupuncture. If respondent is currently in solo practice, he or she must hire another acupuncturist as an employee or form a joint practice with another licensee permitted pursuant to Business and Professions Code Section 4935 (b). Respondent must cease his or her practice until the employer/employee or joint practice has commenced. Once the additional licensee has been obtained, respondent must submit the name(s) and qualifications to the Board within 15 calendar days of his or her start date.

***Rationale:** In cases where respondent's ability to function independently is in doubt as a result of a deficiency in knowledge or skills, or as a result of questionable judgment, this condition should be included.*

## **20. Examination**

Respondent shall take and pass the written and/or clinical licensing examination(s) California Acupuncture Licensing Exam (CALE) prior to the termination of probation. The examinations

shall be taken on regularly scheduled exam dates. Respondent shall pay the established examination fee.

If respondent fails the examination three times, his/her license to practice acupuncture is suspended until the examination is successfully passed.

*Rationale: In cases involving evidence of severe deficiencies in the body of knowledge required to be minimally competent to practice independently, it may be appropriate to require the respondent to take and pass CALE during the course of the probation period. In some instances, it may be appropriate for practice to be suspended until the examination is passed (condition precedent).*

## **21. Alcohol and Drug Abuse Treatment**

Effective 30 days from the date of this Decision, respondent shall enter an inpatient or outpatient alcohol or other drug abuse recovery program (a minimum of six (6) months duration) or an equivalent program as approved by the Board.

Quitting the program without permission or being expelled for cause shall constitute a violation of probation by respondent. Subsequent to the program, respondent shall participate in on-going treatment such as receiving individual and/or group therapy from a psychologist trained in alcohol and drug abuse treatment; and/or attend Twelve Step meetings or the equivalent as approved by the Board at least three times a week during the first year of probation; and/or other substance abuse recovery programs approved by the Board. Respondent shall pay all costs of treatment and therapy, and provide documentation of attendance at Twelve Step meetings or the equivalent as approved by the Board. The psychologist shall confirm that respondent has complied with the requirements of this Decision and shall notify the Board immediately if he or she believes the respondent cannot safely render acupuncture services. Respondent shall execute a release authorizing the psychologist to divulge the aforementioned information to the Board.

*Rationale: Alcohol and other drug abuse treatment shall be required in addition to other terms of probation in cases where the use of alcohol or other drugs by respondent has impaired respondent's ability to safely provide acupuncture services to patients. This condition must be accompanied by condition #22.*

## **22. Abstain from Drugs and Alcohol and Submit to Tests and Samples**

Respondent shall completely abstain from the personal use or possession of alcohol and controlled substances as defined in the California Uniform Controlled Substances Act and dangerous drugs as defined in Section 4022 of the Business and Professions Code, except when lawfully prescribed by a licensed practitioner for a bona fide illness.

Respondent shall immediately submit to random and directed biological fluid testing paid for by Respondent, at the request of the Board or its designee. The Respondent shall be randomly drug tested at least 52 -104times per year for the first year of probation, and at any time as

directed by the Board. After the first year, practicing licensees shall be randomly drug tested at least 36-104 times per year, and at any time as directed by the Board. After the second year of probation administration of one (1) test per month if there have been no positive drug tests in the previous five (5) consecutive years of probation. The Board may reduce testing frequency to 12 times per year if Respondent is not practicing or working in any health care field. If Respondent tests positive for a banned substance, Respondent shall immediately cease practicing. Respondent shall make daily contact as directed by the Board to determine if he or she must submit to drug testing. Respondent shall submit his or her drug test on the same day that he or she is notified that a test is required. All alternative drug testing sites due to vacation or travel outside of California must be approved by the Board prior to the vacation or travel.

***Rationale:** This condition provides documentation that the probationer is substance or chemical free. It also provides the Board with a mechanism through which to require additional laboratory analyses for the presence of narcotics, alcohol and/or dangerous drugs when the probationer appears to be in violation of the terms of probation or appears to be under the influence of mood altering substances.*

### **23. Ethics Course**

Respondent shall take and successfully complete not less than twenty (20) semester units or thirty (30) quarter units of coursework in Ethics. The coursework shall be taken at the graduate level at a school approved by the Board. Classroom attendance is specifically required. The coursework must be completed within the first year of probation. The required coursework must be in addition to any continuing education courses that may be required for license renewal.

Within 60 days of the effective date of this decision, respondent shall submit a plan for the Board's prior approval for meeting the educational requirements. All costs of the coursework shall be borne by the respondent.

Respondent shall submit a certification of successful completion to the Board or its designee not later than 15 calendar days after successfully completing the coursework.

***Rationale:** In cases of fraudulent behavior, improper record keeping, or a deficiency of knowledge or skills, this condition should be included.*

### **24. Professional Boundaries Program**

Within 60 calendar days of the effective date of this decision, respondent shall enroll in a professional boundaries program, at respondent's expense, equivalent to the Professional Boundaries Program at the University of California, San Diego School of Medicine. Any equivalent should be taken in a classroom setting. Respondent, at the Program's discretion, shall undergo and complete the Program's assessment of respondent's competency, mental health and/or neuropsychological performance, and at minimum, a 24 hour program of interactive education and training in the area of boundaries, which takes into account data

obtained from the assessment and from the Decision(s), Accusation(s) and any other information that the Board or its designee deems relevant. The Program shall evaluate respondent at the end of the training and the Program shall provide any data from the assessment and training as well as the results of the evaluation to the Board or its designee.

Failure to complete the entire Program not later than six months after respondent's initial enrollment shall constitute a violation of probation unless the Board or its designee agrees in writing to a later time for completion. Based on respondent's performance in and evaluations from the assessment, education, and training, the Program shall advise the Board or its designee of its recommendation(s) for additional education, training, psychotherapy and other measures necessary to ensure that respondent can practice acupuncture safely. Respondent shall comply with Program recommendations. At the completion of the Program, respondent shall submit to a final evaluation. The Program shall provide the results of the evaluation to the Board or its designee.

The Program's determination whether or not respondent successfully completed the Program shall be binding.

Failure to participate in and complete successfully all phases of the Program, as outlined above, is a violation of probation.

*Rationale: In cases of sexual misconduct or boundary issues, this condition will aid the respondent's rehabilitation through a means of education and therapy program.*

## **25. Third Party Chaperone**

During probation, respondent shall have a third party chaperone present while consulting, examining or treating female patients. Respondent shall, within 30 calendar days of the effective date of the Decision, submit to the Board or its designee for prior approval name(s) of persons who will act as the third party chaperone.

Respondent shall maintain a log of all patients seen for whom a third party chaperone is required. The log shall contain: patient's name, address and telephone number and date of service(s). Respondent shall keep this log in a separate file or ledger, in chronological order, shall make the log available for immediate inspection and copying on the premises at all times during business hours by the Board or its designee, and shall retain the log for the entire term of probation. Failure to maintain a log of all patients requiring a third party chaperone, or to make the log available for immediate inspection and copying on the premises, is a violation of probation.

Respondent shall provide written notification to his or her female patients that a third party chaperone shall be present during all consultations, examinations, or treatment. Respondent shall maintain in the patient's file a copy of the written notification, shall make the notification available for immediate inspection and copying on the premises at all times during business hours by the Board or its designee, and shall retain the notification for the entire term of

probation.

*Rationale: In cases of sexual misconduct or boundary issues this condition should be included so respondent's appointments with female patients can be chaperoned and monitored.*

## **26. Coursework**

Respondent shall take and successfully complete not less than twenty (20) semester units or thirty (30) quarter units of coursework in the following area(s) . All coursework shall be taken at the graduate level at a school approved by the Board. Classroom attendance must be specifically required. Course content shall be pertinent to the violation and all coursework must be completed within the first 3 years of probation. The required coursework must be in addition to any continuing education courses that may be required for license renewal.

Within 90 days of the effective date of this decision, respondent shall submit a plan for the Board's prior approval for meeting the educational requirements. All costs of the coursework shall be borne by the respondent.

*Rationale: In cases of a deficiency of knowledge or skills, this condition should be included.*

## **27. Community Service**

Within 60 days of the effective date of this decision, Respondent shall submit to the Board, for its prior approval, a community service program for the (first year of probation or a specified period of probation) in which Respondent shall provide volunteer services on a regular basis to a non-profit community or charitable facility or agency for at least (number of hours per month/year for the first year or specified period of probation). Such community service shall be (acupuncture or non-acupuncture) related. Community service required by this condition shall be performed in the State of California. Community service performed prior to the effective date of the Decision shall not be accepted in fulfillment of this condition.

Prior to engaging in any community service Respondent shall provide a true copy of the Decision to the chief of staff, director, office manager, program manager, officer, or the chief executive officer at every community or non-profit organization where Respondent provides community service and shall submit proof of compliance to the Board or its designee within 15 calendar days. This condition shall also comply to any change(s) in community service. All community services must be completed no later than thirty (30) calendar days prior to the scheduled termination of probation.

*Rationale: The Acupuncture Licensure Act authorizes the Board to impose as a condition of probation the fulfillment of community service. This is appropriate in those cases where the Respondent has violated the*

*public's trust. If the violation relates to quality of care, the community service shall not be acupuncture related.*

## **28. Prohibited Practice**

Respondent is prohibited from \_\_\_\_\_ (e.g., practicing, performing, or prescribing) \_\_\_\_\_ (e.g., a specific modality or treatment method) for a period of no less than 12 months from the effective date of this Decision. After the effective date of this Decision, the first time that a patient seeking the prohibited services makes an appointment, orally notify the patient that respondent does not \_\_\_\_\_ (e.g., practicing, performing, or prescribing) \_\_\_\_\_ (e.g., a specific modality or treatment method). Respondent shall maintain a log of all patients to whom the required oral notification was made. The log shall contain: 1) patient's name, address and phone number; 2) the full name of the person or staff member making the notification; the date the notification was made; and 5) a description of the notification given. Respondent shall keep this log in a separate file or ledger, in chronological order, shall make the log available for immediate inspection and copying on the premises at all times during business hours by the Board or its designee, and shall retain the log for the entire term of probation. Failure to maintain a log as defined in the section, or to make the log available for immediate inspection and copying on the premises during business hours is a violation of probation.

Respondent must complete a minimum of \_\_\_\_\_ (number of) hours of a Board approved continuing education course during the 12 months in which the content covers \_\_\_\_\_ (e.g., a specific modality or treatment method). The course cannot be completed by distance learning. Respondent must submit a certificate of completion within 15 calendar days following the end of the course.

***Rationale:** In cases of negligence involving a specific modality or treatment method, this condition bars the respondent from utilizing this method. By requiring a course to be completed on the subject matter, respondent can learn proper technique and risks associated with the modality or method.*

## **29. Clinical Training Program**

Within 60 days of the effective date of this Decision, respondent shall enroll in a clinical training or educational program offered at an approved school with the Board's prior approval. The program shall consist of a comprehensive assessment comprised of a two-day assessment of respondent's basic clinical and communication skills common to all acupuncturists; and acupuncture knowledge, skill and judgment pertaining to practice standards, and at a minimum, a 40 hour program of clinical education in the area of practice for which respondent was alleged to be deficient and that takes into account data obtained from the assessment, administrative decisions and accusations, and any other information that the Board deems relevant. Respondent shall pay all expenses associated with the clinical training program.

Based on respondent's performance and test results in the assessment and clinical education, the program will advise the Board of its recommendations for the scope and length of any

additional education or clinical training or anything else affecting respondent's practice of acupuncture.

At the completion of any additional education or training, respondent shall submit to and pass an examination. The program's determination whether or not respondent passed the examination or successfully completed the program shall be binding.

Respondent shall complete the program no later than six months after respondent's initial enrollment, unless the Board agrees in writing to a later time for completion.

Failure to participate in and complete successfully all phases of the clinical training program as outlined above is a violation of probation.

### **Option #1: Condition Precedent**

Respondent shall not practice acupuncture until he or she has successfully completed the program and has been so notified by the Board in writing, except that respondent may practice in a clinical training program approved by the Board. Respondent's practice of acupuncture shall be restricted to that which is required by the program.

### **Option #2: Condition Subsequent**

If respondent fails to complete the clinical training program within the designated time period, respondent shall cease the practice of acupuncture within 72 hours after being notified by the Board that respondent failed to successfully complete the program.

*Rationale: In those instances where a licensee has demonstrated negligence or incompetence, or has been found to have performed work or attempting treatment beyond the scope of training or experience, the Board will impose a clinical training program. This program shall specify the areas and hours of clinical training required, and may also dictate the institution(s) where the education will be received. A clinical training program is usually required prior to allowing the licensee to return to the identified deficient area of practice, and requires prior approval by the Board. Continuing education courses used for renewal of licensure will not fulfill this requirement. This program is for acupuncturists who have demonstrated deficiencies in skill but do not constitute a present danger to patients in other areas of practice.*

## **30. Clinical Diagnostic Evaluation**

Within twenty (20) days of the effective date of the Decision and at any time upon order of the Board, Respondent shall undergo a clinical diagnostic evaluation. The clinical diagnostic evaluation shall be conducted by a licensed practitioner who: holds a valid, unrestricted license, which includes scope of practice to conduct a clinical diagnostic evaluation; has three (3) years experience in providing evaluations of health professionals with substance abuse disorders; and, is approved by the board. The clinical diagnostic evaluation shall be conducted in accordance with acceptable professional standards for conducting substance abuse clinical diagnostic evaluations. The evaluator shall provide an objective, unbiased, and independent evaluation. Respondent shall provide the evaluator with a copy of the Board's Decision prior to

the clinical diagnostic evaluation being performed.

The clinical diagnostic evaluation report shall: set forth, in the evaluator's opinion, whether the licensee has a substance abuse problem; set forth, in the evaluator's opinion, whether the licensee is a threat to himself/herself or others; and, set forth, in the evaluator's opinion, recommendations for substance abuse treatment, practice restrictions, or other recommendations related to the licensee's rehabilitation and safe practice. Respondent shall cause the evaluator to submit to the Board a written clinical diagnostic evaluation report within ten (10) days from the date the evaluation was completed, unless an extension, not to exceed thirty (30) days, is granted to the evaluator by the Board. Cost of such evaluation shall be paid by the Respondent.

If the evaluator determines during the evaluation process that a licensee is a threat to himself/herself or others, the evaluator shall notify the board within 24 hours of such a determination. Respondent shall comply with any restrictions or recommendations made as a result of the clinical diagnostic evaluation.

***Rationale:** Respondent must undergo a clinical diagnostic evaluation to determine his or her fitness for practice.*

### **31. Worksite Monitor**

Respondent shall submit the name of a licensed acupuncturist as the proposed worksite monitor within 20 days of the effective date of the Decision. The worksite monitor may be another healthcare professional if no monitor with like practice is available, or, as approved by the board, be a person in a position of authority who is capable of monitoring the licensee at work.

Respondent must not have any financial, personal, or familial relationship with the worksite monitor. If the worksite monitor is a licensed healthcare professional he or she shall have an active unrestricted license, with no disciplinary action within the last five (5) years. Respondent shall complete any required consent forms and sign an agreement with the worksite monitor and the Board regarding the Respondent and the worksite monitor's requirements and reporting responsibilities. This agreement will also allow the Board and the worksite monitor to communicate. Once a worksite monitor is approved, Respondent may not practice unless the monitor is present at the worksite.

The worksite monitor must adhere to the following required methods of monitoring the licensee: a) Have face-to-face contact with the licensee in the work environment on a frequent basis as determined by the board, at least once per week; b) Interview other staff in the office regarding the licensee's behavior, if applicable; c) Review the licensee's work attendance. Any suspected substance abuse must be verbally reported to the board and the licensee's employer within one (1) business day of occurrence. If occurrence is not during the board's normal business hours the verbal report must be within one (1) hour of the next business day. A



written report shall be submitted to the board within 48 hours of occurrence. The worksite monitor shall complete and submit a written report monthly or as directed by the board. The report shall include: the licensee's name; license number; worksite monitor's name and signature; worksite monitor's license number; worksite location(s); dates licensee had face-to-face contact with monitor; staff interviewed, if applicable; attendance report; any change in behavior and/or personal habits; and any indicators that can lead to suspected substance abuse.

If the worksite monitor terminates the agreement with the Board and the Respondent, the Respondent shall not resume practice until another worksite monitor is approved by the Board.

***Rationale:*** Requiring a worksite monitor allows the Board to be informed of respondent's behavior and performance while on the job.

# Accusations and Decisions

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To provide a foundation for consistency and clarity in each disciplinary action, the Board asks that the below guidelines be followed.

## ACCUSATIONS

The Board has the authority, pursuant to Section 125.3 of the Business and Professions Code, to recover costs of investigation and prosecution of its cases. The Board requests that this fact be included in the pleading and made part of the Accusation.

## STIPULATED SETTLEMENTS & PROPOSED DECISIONS

The Board will consider agreeing to stipulated settlements to promote consumer protection and to expedite disciplinary decisions. All stipulations must be accompanied by a memo from the Deputy Attorney General addressed to Board members explaining the background of the case, defining the allegations, mitigating circumstances, admissions and proposed penalty along with a recommendation.

**Proposed Decisions should include, at a minimum, the following:**

1. Names and addresses of all parties to the action.
2. Specific code section violated with the definition of the code in the Determination of Issues.
3. Clear description of the acts or omissions which caused the violation.
4. Respondent's explanation of the violation if he/she is present at the hearing in the findings of fact.
5. Explanation of deviation from the Uniform Standards Related to Substance Abuse and Recommended Guidelines for Disciplinary Orders and Conditions of Probation.

Respondents should be informed that the Board will only accept stipulations containing admissions.

## Recommended Language for Cost Recovery for Revocations and Surrenders

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When the Decision and Order results in revocation or surrender of the license, cost recovery should be included as follows:

“If and when respondent’s license is reinstated, he or she shall pay to the Board costs associated with its investigation and enforcement pursuant to Business and Professions Code Section 125.3 in the amount of \$ \_\_\_\_\_. Respondent shall be permitted to pay these costs in a payment plan approved by the Board. Nothing in this provision shall be construed to prohibit the Board from reducing the amount of cost recovery upon reinstatement of the license.”

# Denial of Licensure

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Pursuant to Business and Professions Code 480, the Acupuncture Board has authority to protect the public in denying licensure to any applicant whose misconduct or criminal history is substantially related to the qualifications, functions, or duties of an acupuncturist.

The Board may deny licensure on the basis of:

- Conviction of crime substantially related to the practice of acupuncture.
- Any act involving dishonesty, fraud, or deceit with intent to substantially benefit self or another or to substantially injure another.
- Any act which is grounds for revocation of a license.
- Making a false statement on the application

Any person whose application for a license has been denied by the Board, may reapply to the Board for a license only after a period of three years has elapsed from the date of the denial.

# Demonstrations of Rehabilitation

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When the Board receives information that an applicant or licensee has a criminal conviction, there is a set of criteria the Board considers when determining a denial of license or revocation, or suspension of license is appropriate.

- In evaluating the rehabilitation of an applicant/licensee and to determine if action is necessary, the Board considers the following:
  1. The nature and severity of the crime(s) under consideration.
  2. Evidence of any acts committed subsequent to the crime(s) under consideration as grounds for disciplinary action or denial of license.
  3. The time that has elapsed since the commission of the crime(s).
  4. The extent to which the applicant/licensee has complied with any terms of probation or any other sanctions lawfully imposed against the applicant/licensee.
  5. Evidence, if any, of rehabilitation by the applicant/licensee.
- The following is a list of items the Board will consider in determining whether or not the applicant or licensee has been rehabilitated.
  1. Copies of court documents pertinent to conviction, including documents specifying conviction and sanctions, and proof of completion of sanction.
  2. Letter from applicant or licensee describing underlying circumstances of arrest and conviction record as well as any rehabilitation efforts or changes in life since that time to prevent future problems.
  3. Letters of reference from professors or colleagues within the field of acupuncture.
  4. Letters of reference from past and/or current employers.
  5. Letters from recognized recovery programs attesting to current sobriety and length of time of sobriety if there has been a history of alcohol or drug abuse.
  6. A current mental status examination by a clinical psychologist or psychiatrist. The evaluation should address the likelihood of similar acts or convictions in the future, and should speak to the suitability of the registered nursing profession for the applicant.
  7. Letters of reference from other knowledgeable professionals, such as probation or parole officers.
  8. Copy of Certificate of Rehabilitation or evidence of expungement proceedings.

9. Evidence of compliance with and completion of terms of probation, parole, restitution, or any other sanctions.

## Evidence of Mitigation

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The respondent is permitted to present mitigating circumstances at a hearing. The same opportunity is provided in the settlement process.

The following documents are examples of appropriate evidence the respondent may submit to demonstrate his or her rehabilitative efforts and competency in acupuncture:

1. Recent, dated letters from counselors regarding respondent's participation in a rehabilitation or recovery program, where appropriate. These should include a description of the program, the number of sessions the respondent has attended, the counselor's diagnosis of respondent's condition and current state of rehabilitation (or improvement), the counselor's basis for determining improvement, and the credentials of the counselor.
2. Recent letters describing respondent's participation in support groups, e.g., Alcoholics Anonymous, Narcotics Anonymous, etc., where appropriate, and sobriety date.
3. Recent, dated laboratory analyses or drug screen reports, where appropriate.
4. Recent, dated physical examination or assessment report by a licensed physician, nurse practitioner, or physician assistant.
5. Certificates or transcripts of courses related to acupuncture which respondent may have completed since the date of the violation.

# Petition for Penalty Relief and Reinstatements

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Pursuant to Business and Professions Code Section 4960.5 (a), an individual whose license has been revoked, suspended, or surrendered, or whose license has been placed on probation must wait a specified minimum amount of time before petitioning the Board for penalty relief or reinstatement.

- A person with a revoked or surrendered license must wait at least three years from the effective date of his or her decision to petition for reinstatement.
- A person with a term of probation of three years or more must wait at least two years from the effective date of his or her decision to petition for early termination.
- A person with whose license is placed on probation must wait at least two years from the effective date of his or her decision to petition for modification of a condition.
- A person with a term of probation of less than three years must wait at least one year from the effective date of his or her decision to petition for early termination.

## PETITION HEARINGS

The primary concerns of the Board at reinstatement or penalty relief hearings are that the evidence presented by the petitioner of his/her rehabilitation.

The Board will consider the following criteria of rehabilitation:

1. Nature and severity of the act(s) or offense(s)
2. Total criminal record
3. The time that has elapsed since commission of the act(s) or offense(s)
4. Whether the licensee has complied with any terms of parole, probation, restitution or any other sanctions lawfully imposed against such person
5. If applicable, evidence of expungement proceedings pursuant to Section 1203.4 of the Penal Code
6. Evidence, if any, of rehabilitation submitted by the licensee or registration holder.



In the Petition Decision, the Board would appreciate a summary of the offense and the specific codes violated which resulted in the revocation, surrender or probation of the license.

The Board requests that comprehensive information be elicited from the petitioner regarding his/her rehabilitation. The petitioner should provide details which include:

- A. Continuing education pertaining to the offense and its effect on the practice of acupuncture.
- B. Specifics of rehabilitative efforts and results which should include programs, psychotherapy, medical treatment, etc., and the duration of such efforts.
- C. If applicable, copies of court documents pertinent to conviction, including documents specifying conviction and sanctions, and proof of completion of sanctions.
- D. If applicable, copy of Certificate of Rehabilitation or evidence of expungement proceedings.
- E. If applicable, evidence of compliance with and completion of terms of probation, parole, restitution, or any other sanctions.
- F. A culpability or non-culpability statement.

If the Board should deny a request for reinstatement of licensure or penalty relief, the Board requests that the Administrative Law Judge provide technical assistance in the formulation of language clearly setting forth the reasons for denial. Such language would include methodologies or approaches which would demonstrate rehabilitation.

If a petitioner fails to appear for his or her scheduled reinstatement or penalty relief hearing, such action shall result in a default decision to deny reinstatement of the license or reduction of penalty.

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