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The Osteopathic Medical Board of California

MISSION STATEMENT

The mission of the Osteopathic Medical Board of California is to protect consumers and promote the highest professional standards in the practice of osteopathic medicine, the Osteopathic Medical Board of California licenses osteopathic physicians and surgeons.

The board investigates consumer complaints and uses its enforcement power to ensure practitioners abide by the provisions of the state Business and Professions Code/Medical Practice Act.

To maintain their license, practitioners must successfully complete rigorous, periodic continuing education requirements that meet the standards of the American Osteopathic Association (AOA).

INTRODUCTION

The Osteopathic Medical Board of California (hereafter referred to as Board) is a state regulatory agency within the Department of Consumer Affairs.

The Board is responsible for investigations and discipline of physician licensees of the State of California. The primary purpose of the Board is to protect the public from incompetent, negligent, dishonest and/or impaired physicians. Your role as an objective expert reviewer is extremely important in identifying whether a departure from the accepted standard of care has occurred, thereby constituting unprofessional conduct. You will also be called to serve as an expert witness at any administrative hearing or criminal proceeding that may result from your expert opinion.

The purpose of this manual is to describe the administrative disciplinary process for physician misconduct and to define the Board’s expectations with respect to your review.

As an expert reviewer, you will be provided medical records and other information concerning an investigation. This may include reports which contain interviews of patients, subsequent treating physicians, other witnesses, and the physician who is the subject of the investigation. You will be asked, on the basis of your review of the documentation provided, to render your impartial opinion of the care provided by the subject physician.
Your objective opinion must be based solely upon the information provided to you by the Board; however, you may refer to peer review journal articles, medical texts and other authoritative reference materials which help to define the accepted standard of care. The opinion should be based upon your knowledge of the accepted standard of care, drawing from your education, training, experience and knowledge of the medical literature. **Because of laws protecting confidentiality, you may not discuss the case with anyone other than staff of the Osteopathic Medical Board and the Office of the Attorney General. Please Note: While you may discuss the case with staff of the Osteopathic Medical Board, you may not discuss the case with any of the 9 Board Members, as they need to remain impartial.**

Submitting a case for expert review does not imply that there are departures from the standard of care. You will be provided with the medical issues to be addressed for each case. You will discuss the standard of care for each medical issue and articulate an analysis and explanation of your conclusions (either no departure, simple departure, extreme departure, and/or lack of knowledge). Feel free to address other medical issues that you come across during your review.

If you have prior knowledge of the subject physician/other parties involved or if you feel you cannot be objective in your review for any reason, please inform the OMBC Investigator assigned to the case and do not accept the case for review. It is also very important to make sure that you have experience with the procedure or treatment at issue during the time frame of the alleged misconduct.

You will be required to testify in administrative hearings held before an administrative law judge for those cases that progress to a hearing. In these instances, you will be considered an expert witness and will be required to meet with the Deputy Attorney General, assigned to prosecute the case, prior to the hearing. The purpose of the meeting is to prepare you for the hearing.

The Osteopathic Medical Board of California greatly appreciates your willingness to serve as an expert reviewer. You play a vital role to the Board in its mission of public protection.
MOST FREQUENTLY ASKED QUESTIONS

❖ Will I have to testify?

If the case is submitted for disciplinary action, and no stipulated agreement is reached, you will be called upon to provide expert testimony. A stipulated agreement means that both parties have reached an agreement as to what discipline, if any, will be given in the matter. However, at present approximately 70% of cases are settled without a hearing.

❖ Can I be sued for expressing my opinion?

Civil Code §43.8 provides immunity from civil liability for expert reviewers. While in theory one could be sued for expressing an opinion as an expert reviewer, such lawsuits are exceedingly rare. In addition, the Attorney General’s office would defend such suits.

❖ Can I do some research?

Yes, you may consult peer-reviewed journal articles, medical texts and other authoritative reference materials which help define accepted standards. Please cite or identify any and all references used in your written opinion. It is important that you do not attempt to conduct your own investigation. You cannot contact or discuss the case with the patients, the subject physician, other physicians, Board members, or anyone else. You must scrupulously protect the confidentiality of the subject of the case, and the patients involved.

❖ What if I need additional information or clarification?

Contact the Medical Board Investigator assigned the case as soon as possible and request whatever additional information you need to complete your review. Do not contact any outside witnesses or sources.

❖ How soon do I need to complete the review and provide an opinion?

You are allowed 30 days. In a complicated case, involving multiple patients, your review could extend beyond our 30-day time frame, but no more than 60 days. Keep in mind that the physician under review will continue to see patients until a determination is made by the Board. If you feel this physician poses a danger to patients, it is vital that you inform Medical Board staff immediately, and provide your opinion expeditiously, in order to protect the public.

If you find your background is not suited to review a particular case, or other commitments preclude you from meeting the deadline, or, for any reason, you need to be excused from a case (e.g., to avoid potential conflict of interest) immediately notify the OMBC Investigator assigned to the case.
Who will see my report?

The subject physician will be provided with a copy of your report as part of legal discovery if an accusation is filed. Please be aware that once a case proceeds to an administrative hearing or to a criminal proceeding, through legal discovery, your report may become public record. Public disclosure of medical expert reports, however, rarely occurs.

Your report, without personal identifiers, may be shared with the subject as an educational tool in cases that do not proceed to formal discipline.

Can you give me a copy of a sample report?

Yes, see pages 29-75

What is the difference between a simple departure and an extreme departure from the standard of practice?

The “standard of care” (also referred to as the “standard of practice”) for general practitioners is defined as that level of skill, knowledge and care in diagnosis and treatment ordinarily possessed and exercised by other reasonably careful and prudent physicians in the same or similar circumstances at the time in question.

Specialists are held to the standard of skill, knowledge and care ordinarily possessed and exercised by other reasonably careful and prudent specialists in the same or similar circumstances at the time in question.

Negligence is the failure to use that level of skill, knowledge and care in diagnosis and treatment that other reasonably careful physicians would use in the same or similar circumstances. A negligent act is often referred to as a “simple departure” from the standard of care.

Gross negligence, on the other hand, is defined as “the want of even scant care” or “an extreme departure from the standard of care.” Gross negligence can be established under either definition, both are not required. The difference between gross negligence and ordinary negligence is the degree of departure from the standard of care.

Further information regarding simple vs. extreme departures is provided on pgs. 22-25.
❖ What is incompetency?

Incompetency is generally defined as "an absence of qualification, ability or fitness to perform a prescribed duty or function." (Pollack v. Kinder (1978) 85 Cal.App.3d 833, 837.) Do not use the term incompetence to describe a departure from the standard of practice, as the terms are not synonymous. Incompetence is synonymous with lack of knowledge. A physician may be competent to perform a duty but negligent in performing that duty.

❖ How much will I be paid?

You will be compensated at the rate of $150.00 per hour for your evaluation and report. It is important that you advise the assigned investigator when you are approaching 10 hours of review. There are often complex, voluminous cases, that will require more than 10 hours for you to complete your review. In those situations, it is not a problem to approve the extra hours, however, it must be done prior to incurring additional hours and you must obtain approval from the investigator or district office supervisor. Should you be required to provide testimony at a hearing you will be compensated at the rate of $200.00 per hour for a maximum of 8 hours or $1600.00 per day.

❖ How soon will I be paid?

Generally speaking, you should receive payment for your services within four to six weeks of submitting all required paperwork.
INVESTIGATIONS AND THE DISCIPLINARY PROCESS

◆ The Role of the Board in Physician Discipline

The Osteopathic Medical Board of California is responsible for investigating and bringing disciplinary action against the professional licenses of physicians and surgeons suspected of violations of the Medical Practice Act (Business and Professions Code commencing §2220, et seq.).

The Board’s proceedings are conducted in accordance with the Administrative Procedure Act (Government Code §11150 et seq.). Its investigations and hearings are conducted pursuant to Government Code §11180 through §11191. The Osteopathic Act establishes the Osteopathic Medical Board of California, which consists of 9 members, four of whom are public members [non-physicians]. The Osteopathic Act §3600-1 through 5 defines the duties of the Board, which include:

- The enforcement of the disciplinary and criminal provisions of the Medical Practice Act;
- The administration and hearing of disciplinary actions;
- Carrying out disciplinary actions appropriate to findings made by the division or administrative law judge;
- Suspending, revoking, or otherwise limiting certificates after disciplinary actions;
- Reviewing the quality of medical practice carried out by physician and surgeon certificate holders under the jurisdiction of the board.

The Board identifies and takes appropriate action against any licensee who is charged with unprofessional conduct.

◆ Complaints against physicians

Business and Professions Code §109 and §325 require the Board to investigate complaints concerning its licensees.

Complaints come to the Board from many sources. Under Business and Professions Code §800 et seq., civil judgments, settlements or arbitration awards against a licensee must be reported to the Board by insurers; discipline by any professional peer review body (hospital, medical society, health care service plan) must be reported to the Board; coroners must report any deaths that may be due to gross negligence by a physician; district attorneys must report felony criminal filings
against a physician; and courts must transmit felony preliminary hearing transcripts involving a licensee. Many complaints are filed by patients or by other licensees concerned about the care rendered by another physician for a patient or patients.

◆ Investigation of Complaints

Complaints regarding quality of care are received and reviewed in the Osteopathic Medical Board’s Complaint Unit (CU) in Sacramento by a medical consultant. The CU medical consultant determines whether the quality of care issues presented in the complaint and supporting documents warrant investigation. If the medical consultant determines the case merits investigation, it is sent to the Division of Investigation of the Medical Board.

◆ Investigators, Medical Consultants, Deputy Attorneys General, and Expert Reviewers

The following are summaries of the roles of the main participants in the process of investigating and prosecuting medical disciplinary cases.

◆ The Role of the Investigator

Board investigators are peace officers, pursuant to California Penal Code Section 830.3, authorized to investigate complaints of alleged violations of law by obtaining facts, documents, and other evidence. Investigators obtain information by interviewing complainants, witnesses, and licensed health care professionals. They obtain documentation, such as medical records, witness statements, court documents, and prescriptions. They serve investigational subpoenas and search warrants to obtain evidence. In criminal cases, investigators can secure an arrest warrant. All of the information is memorialized in an investigation report.

Investigators work closely with the Medical Consultants (MC) and Deputy Attorneys General (DAG) in reviewing case materials and determining what additional records or information is needed and whether an expert review is necessary. Once an expert reviewer is selected the assigned investigator is the contact person for the expert. The investigator tracks cases sent out for review to ensure they are completed within the standard 30-day time limit. If a report is not received within that time, the investigator contacts the expert reviewer to determine the reason for delay.

If a violation is confirmed, the matter is referred to the Office of the Attorney General. A request is made by the Board to initiate an administrative action against the license. Investigators may also present certain confirmed violations to a District Attorney/City Attorney if there is sufficient evidence of criminal violations.
If the case is referred for either administrative or criminal action, the investigator submits an investigation report with all evidence, including the expert report. If an administrative hearing or a criminal trial is conducted, the investigator works with the DAG and/or Deputy District Attorney (DDA). This includes case preparation, additional investigation if needed and working with the DMC to secure additional expert reviews, if needed.

**The Role of the Medical Consultant (MC)**

The MC assists investigators with the case investigation. This includes review of the complaint, medical and pharmacy records, insurance and billing records, and other documents in the case file where medical knowledge is needed. They also participate with the investigator and assigned DAG in interviews with subject physicians.

The MC, investigator, and DAG determine whether the case should be sent for expert review. After all the evidence has been obtained, including the subject interview, the MC prepares a memorandum identifying medical issues for expert comment. The MC identifies expert reviewers in the appropriate specialty and geographic area from the Board's database, and they or the assigned investigator will contact the expert to arrange for review of the case.

The MC reviews the report prepared by the expert reviewer. When appropriate, he or she provides feedback to the reviewer to assist in future case reviews and reports. The MC also prepares an evaluation of the performance of the expert reviewer when the case is completed.

The MC sets up professional competency examinations pursuant to a petition to compel a professional competency examination, or pursuant to a disciplinary order adopted by the Board. He or she may call upon an appropriate medical expert reviewer to participate in the examination, and to collaborate with other examiners in developing appropriate oral questions.

In some cases, the Board may order a physician to undergo either a physical or a psychiatric examination by an expert reviewer. The MC may contact you and ask you to perform such an examination and prepare a report.

**The Role of the Deputy Attorney General (DAG)**

During the course of an investigation, Health Quality Enforcement (HQE) DAGs work closely with investigators and provide direction and legal advice in the accumulation of evidence necessary to advise the Board on legal matters such as whether a formal accusation should be filed against a licensee, a complaint should be closed for lack of evidence, or whether other appropriate action should be taken. HQE DAGs also seek and obtain temporary license suspension orders whenever a licensee’s continued practice of medicine, in light of the alleged violation(s) of law, will endanger the public health, safety or welfare.
HQE DAGs carefully review evidence obtained during the investigation to determine whether it is sufficient to establish that a violation of law has occurred. This review includes a careful assessment of witness statements, medical records, and expert reviewer reports. In quality-of-care cases, DAGs sometimes contact the expert reviewer to discuss the technical medical issues addressed in the expert reviewer's report. Such contacts, which are generally conducted by telephone, are extremely important in helping the DAG understand the often complex medical issues and clarify any possible ambiguity in the expert reviewer's report.

Where warranted by the evidence, an accusation (formal statement of charges) is filed against the physician. Most physicians request a hearing on the charges filed against them and, in those cases, a hearing is scheduled with the Office of Administrative Hearings. The vast majority of these disciplinary cases are settled prior to the hearing with a stipulated agreement. Obviously, where a case is settled, expert reviewer involvement will be minimal. However, in those cases that do not settle and, instead, go forward to a full hearing, expert involvement will be critical to the successful prosecution of the case.

Typically, once a hearing has been scheduled with the Office of Administrative Hearings, the DAG will contact the expert to confirm availability for the hearing dates set in the case. As a general rule, expert testimony at the hearing will be required on one day only. However, in some instances, the expert may be called back to testify a second time in the same case as a rebuttal witness in order to rebut testimony offered by the licensee and/or his/her own expert witness(es).

Defense counsel often submits defense expert reports. The DAG, in turn, will often forward those defense expert reports to you for consideration and, most importantly, to determine whether the opinions expressed by defense experts in any way changes your original expert opinion(s) given in the case.

In preparation for an upcoming hearing, the DAG will often contact the expert reviewer in order to schedule a face-to-face meeting to review the evidence in the case, the expert report, and opinions, as well as any possible defenses in the case. At the hearing, it is extremely important that the often complex medical issues be presented in terms that are clear, concise and readily understandable to the Administrative Law Judge assigned to hear the case, as the ALJ is not a medical professional.

In most instances, expert testimony at the administrative hearing will end the expert's involvement in the case. Following issuance of a final decision by the Osteopathic Medical Board, HQE DAGs will defend those decisions at both the superior court and appellate level. However, appeals are based on the record of the administrative hearing, including the transcripts and exhibits or other evidence. Witnesses are not called to testify in those proceedings.
The Role of the Expert Reviewer

The expert reviewer plays a crucial part in the investigation process by providing an objective, reasoned, and impartial evaluation of the case. They are neither an advocate for the Board nor an advocate for the physician. Rather, the review is concerned primarily with whether there is a departure from the accepted standard of practice.

An expert reviewer is expected to safeguard both the confidentiality of the records, the identities of the patients, complainants and physicians involved. The expert reviewer is obligated not to divulge any information contained in the relevant medical records and investigations materials that are provided for review to other parties, at any time. Once the report is written, all case material must be returned to the Osteopathic Medical Board. The obligation to preserve confidentiality also extends to any assistant whom the physician may have utilized in the preparation of the report.

An important caveat regarding confidentiality relates to contacts from an attorney representing the subject physician or members of the media. At no time should a case be discussed, nor should any sort of acknowledgment be given that the case has been or is currently being investigated and/or reviewed. DO NOT agree to testify, on behalf of the complainant, in a civil matter regarding the review of the case. Any contact made by the media should be reported and referred to the Osteopathic Medical Board’s Public Information Officer at (916) 928-8390 ext. 7.

The Osteopathic Medical Board of California Expert Reviewer Program keeps the reports written by the experts confidential to the greatest extent allowable under law.

If a case is set for hearing, the expert reviewer is expected to testify, and in preparation for this testimony, meet with the DAG assigned to prosecute the case. The expert reviewer educates the DAG regarding the details of the medical opinion and assists in the presentation of that opinion in the clearest and most concise testimony possible. The expert reviewer may also be asked to assist in reviewing the opinions of the opposing experts and help prepare cross examination questions regarding their opinions. The DAG will explain the procedures and protocols for testifying.

The expert reviewer is reimbursed by the Board for time spent preparing for hearing, meeting with the DAG, and reviewing additional documents. An additional Expert Statement of Services will be submitted for the additional hours. The investigator is the liaison for coordinating any reimbursements, including travel arrangements which may be required (hotel/airfare) and will be able to explain the state reimbursement rates for per diem. Please do not make flight or hotel reservations without first speaking with the assigned Investigator.

Civil Code §43.8 provides for immunity from civil liability for expert reviewers and expert witnesses acting within the scope of their duties in evaluating and testifying in cases before the Board. Should any problems arise in this area, the designated Board
representative should be contacted immediately.

In the event an Expert Reviewer Program Participant, acting on the Board's behalf, is named as a defendant in a lawsuit, Business and Professions Code §2317 provides for the defense of the expert by the Office of the Attorney General.
TYPES OF EVALUATIONS

There are many possible violations of the Medical Practice Act, therefore evaluations of cases vary with the subject matter of the possible unprofessional conduct. Listed below are the types of cases an expert may be asked to review.

- **Quality-of-Care**

  These cases involve the quality of medical care rendered to a patient or patients. Under the Medical Practice Act, it is unprofessional conduct for a physician to commit repeated negligent acts, gross negligence or incompetence in the practice of medicine. In quality-of-care cases, the question presented is whether the physician’s diagnosis and treatment of his/her patient constitutes: (1) no departure from the standard of care; (2) simple departure; (3) extreme departure; and/or (4) lack of knowledge. When conducting your review, it is vital you understand the different definitions for each of these terms.

- **Sexual Misconduct**

  In evaluating allegations of sexual misconduct you are to assume the allegations are true. You are not being asked to evaluate or comment on the credibility of the alleged victim or whether the alleged misconduct actually occurred. A determination as to whether the alleged misconduct can be proven will be made by the Attorney General when the investigation is reviewed or by the trier of fact at the hearing.

  If the issue involves a patient’s account of what they feel to be an inappropriate exam, please make sure to describe in detail in your standard of care section, what the appropriate physical exam should have entailed. Then comment on what the patient described and whether or not the exam itself met the standard of care.

  In reviewing allegations regarding sexual misconduct, if you discover other areas of departures dealing with the medical care provided, please address those issues in your opinion as well.

  Under present law regulating physicians, any act of sexual abuse, misconduct or relations with a patient, client, or customer constitutes unprofessional conduct and grounds for discipline. This does not apply to sexual contact between a physician and his or her spouse or a person in an equivalent domestic relationship when the physician provides medical treatment, other than psychotherapeutic treatment, to that person (Business and Professions Code §726).

  Any physician and surgeon, psychotherapist, alcohol and drug abuse counselor or any person holding himself or herself out to be one, who engages in an act of sexual intercourse, sodomy, oral copulation, or sexual contact with a patient or client, or with a former patient or client when the relationship was terminated primarily for the purpose of engaging in those acts, unless the physician and surgeon,
psychotherapist, or alcohol and drug counselor has referred the patient or client to an independent and objective physician and surgeon, psychotherapist, or alcohol and drug abuse counselor recommended by a third party physician and surgeon, psychotherapist, or alcohol and drug abuse counselor for treatment, is guilty of sexual exploitation (Business and Professions Code §729).

It is important in these cases to address whether or not the referral to another physician was done by an objective third party, not the subject physician.

Allegations are sometimes made that a physician has engaged in some form of sexual touching or contact with nursing staff, other physicians or some other subordinate staff person that may appear to be some form of sexual harassment. The conduct could also include verbal comments of a sexual nature or that conveys a sexual innuendo. In cases like this you are to assess whether the alleged conduct by the physician constitutes unprofessional conduct (Business and Professions Code §2234). Again, in making this assessment you are to assume the truth of the allegations.

### Drug Violations

Expert reviewers review a variety of drug violation cases. These drug violation cases fall into two basic categories: excessive prescribing or treatment (as defined in Business and Professions Code §725) and prescribing without medical indication (Business and Professions Code §2241 and §2242).

- **Excessive Prescribing**, under Business and Professions Code §725, often involves controlled substances. Generally, the assessment as to whether prescribing for a particular patient was excessive involves the nature of the medical complaint and the amount and frequency of the prescription of drugs. This can be a single drug, a class of drugs (such as opiates or amphetamines), or a pattern of prescribing large amounts of drugs without justification. An action under this section also can be sustained if the drug itself is not being given in excessive amounts, by ordinary standards, but is being knowingly given in excessive amounts for a given patient’s condition. For instance, repeatedly prescribing a drug in the same amounts for a patient who has repeatedly attempted suicide using that drug constitutes excessive prescribing (among other potential violations, e.g., extreme departure from the standard of practice).
Prescribing controlled substances to a known addict for nonmedical purposes is illegal under Business and Professions Code §2241. Several provisions of the Health and Safety Code prohibit prescribing controlled substances to a known addict or a representative of an addict. In general terms, controlled substances can be provided to addicts only in certain facilities such as prisons and state hospitals, or in licensed clinics established for the treatment of drug addiction. Even in those facilities, the controlled substances must be administered directly to the patient, not prescribed or dispensed for future use. For additional information, see Health and Safety Code §11156, §11210, §11215 and §11217.

Prescribing without Medical Indication, under Business and Professions Code §2242 indicates that it is unprofessional conduct to prescribe, dispense, or furnish dangerous drugs (prescription medications, including controlled substances) “without an appropriate prior examination and medical indication.” This covers the situation where a physician simply prescribes a medication, usually a controlled substance, without any underlying pathology indicating a need for that medication. This also addresses the situation where a physician, knowing that a patient is addicted to a dangerous drug, continues to prescribe that drug. Needless to say, there are many instances where prescribing without medical indication and excessive prescribing overlap. In addition, there are instances in which excessive prescribing of drugs or prescribing drugs without medical indication also constitutes an extreme departure, repeated departures from the standard of care, or lack of knowledge or skill, depending upon the evidence presented.

There is an exception for the prescribing of large amounts of controlled substances for documented cases of intractable, nonmalignant pain. In these cases, expert reviewers who are board-certified in the area of pain management are required.

Intractable Pain Treatment Act under Business and Professions Code §2241.5 provides that a physician may prescribe or administer controlled substances to a person in the course of treatment for intractable pain. This refers to a patient with documented chronic, non-cancer pain, that cannot be alleviated with conventional treatment. The patient must be evaluated by the treating physician and a specialist in the area deemed to be the source of the pain. However, the physician cannot prescribe or administer controlled substances in the treatment of known addicts, treatment that is non-therapeutic in nature, or treatment that is not consistent with public health and welfare. He or she cannot violate the drug statutes governing the prescription of controlled substances and their documentation. The expert reviewer in a case in which it is claimed that controlled substances were administered for intractable pain will be called upon to determine the reasonableness of the diagnosis of intractable pain and the compliance with the accepted standard of practice for the treatment of such pain.

When the Osteopathic Medical Board requests an expert opinion in a pain management case, the investigator shall provide the selected expert reviewers with
the case documents to be reviewed, and provide a copy of the following:

- Business & Professions Code Section 2190.5 (Mandatory Continuing Education Classes in Pain Management and Treatment; Exemptions)
- Business & Professions Code Section 2241.5 (Intractable Pain Treatment Act)
- Health & Safety Code Section 11159.2 (Treatment of Terminally Ill Patient with Schedule II Controlled Substances For Pain Relief; Prescription Requirements; Technical Errors in Certification)
- Health & Safety Code Section 124961 (Pain Patient’s Bill of Rights)

**Guidelines for Prescribing Controlled Substances for Pain (Pain Management Guidelines)**

It is imperative that when reviewing cases involving pain management, your opinion addresses the specific points of the Board’s Pain Management Guidelines:

**History/Physical Examination**

A medical history and physical examination must be accomplished. This includes an assessment of the pain, physical and psychological function; a substance abuse history; history of prior pain treatment; an assessment of underlying or coexisting diseases or conditions; and documentation of the presence of a recognized medical indication for the use of a controlled substance.

**Treatment Plan, Objectives**

The treatment plan should state objectives by which the treatment plan can be evaluated, such as pain relief and/or improved physical and psychosocial function, and indicate if any further diagnostic evaluations or other treatments are planned. The physician and surgeon should tailor pharmacological therapy to the individual medical needs of each patient. Multiple treatment modalities and/or a rehabilitation program may be necessary if the pain is complex or is associated with physical and psychosocial impairment.

**Informed Consent**

The physician and surgeon should discuss the risks and benefits of the use of controlled substances and other treatment modalities with the patient, caregiver or guardian.
Periodic Review

The physician and surgeon should periodically review the course of pain treatment of the patient and any new information about the etiology of the pain or the patient’s state of health. Continuation or modification of controlled substances for pain management therapy depends on the physician’s evaluation of progress toward treatment objectives. If the patient’s progress is unsatisfactory, the physician and surgeon should assess the appropriateness of continued use of the current treatment plan and consider the use of other therapeutic modalities.

Consultation

The physician and surgeon should consider referring the patient as necessary for additional evaluation and treatment in order to achieve treatment objectives. Complex pain problems may require consultation with a pain management specialist.

In addition, physicians should give special attention to those pain patients who are at risk for misusing their medications including those whose living arrangements pose a risk for medication misuse or diversion. The management of pain in patients with a history of substance abuse requires extra care, monitoring, documentation, and consultation with addiction medicine specialists, and may entail the use of agreements between the provider and the patient that specify the rules for medication use and consequences for misuse.

Records

The physician and surgeon should keep accurate and complete records according to items above, including the medical history and physical examination, other evaluations and consultations, treatment plan objectives, informed consent, treatments, medications, rationale for changes in the treatment plan or medications, agreements with the patient, and periodic reviews of the treatment plan.

Compliance with Controlled Substances Laws and Regulations

To prescribe controlled substances, the physician and surgeon must be appropriately licensed in California, have a valid controlled substances registration and comply with federal and state regulations for issuing controlled substances prescriptions. Physicians and surgeons are referred to the Physicians Manual of the U.S. Drug Enforcement Administration and the Medical Board’s Guidebook to Laws Governing the Practice of Medicine by Physicians and Surgeons for specific rules governing issuance of controlled substances prescriptions.

In rare instances you may be asked to review cases in which there has been an allegation that the physician has failed to prescribe adequate doses of pain medication
to address the condition of the patient.

There are also other violations that involve drugs. Examples of these types of violations are:

- Criminal conviction for a drug violation (Business and Professions Code §2237);
- Violation of Drug Statutes (Business and Professions Code §2238);
- Excessive use of Drugs or Alcohol (Business and Professions Code §2239);
- Intoxication While Treating Patients (Business and Professions Code §2280).

### Excessive Treatment Violations

Business and Professions Code §725 states it is unprofessional conduct for a physician to engage in repeated acts of clearly excessive prescribing or administering of treatment, repeated acts of clearly excessive use of diagnostic procedures, or repeated acts of clearly excessive use of diagnostic or treatment facilities. In this type of case, you are asked to state the accepted standard of practice concerning the number of physician visits necessary to treat a certain condition, the type and extent of diagnostic procedures necessary to diagnose the condition, or the type and extent of medical laboratory tests necessary to diagnose or treat a given medical condition. Then, you are asked to determine whether the subject physician repeatedly violated these standards.

### General Unprofessional Conduct

Business and Professions Code §2234 states that a physician may be disciplined for unprofessional conduct, which is defined as such in the Medical Practice Act. Any unprofessional conduct which is not specifically set forth as such in the Medical Practice Act or other statutes covering the practice of medicine is referred to as “general unprofessional conduct.” This kind of violation usually entails ethical violations such as dual relationships with patients, threatening a witness in a case, or other conduct which is prohibited by the general rules of ethics of physicians.

In a case involving ethical violations, you are asked to set forth the standard of conduct for a physician in the circumstances described, along with the underlying ethical code at the time of the act(s) in question. You are asked to describe the manner in which the subject physician violated that standard.
Instructions for Completing your Expert Review

Thank you for providing such a valuable service to the Osteopathic Medical Board of California and health care consumers. As an expert reviewer, you play a vital role in protecting patients from substandard care and/or unprofessional conduct, by ensuring an objective standard of review for physicians under investigation. The following is a brief guide to walk you through the process of reviewing a case and preparing your expert report. Please refer to the expert guidelines for a comprehensive explanation of the expert review process.

Before You Get Started

You should have already had a conversation with a District Medical Consultant and/or an Investigator to discuss your area of specialty, and to ensure you will be a good match to perform the review.

As soon you receive the case binders, please assess the case to determine if your training and clinical experience qualify you to provide an expert opinion. It is very important that you have had significant experience with the procedure or medical issue during the exact time period in question. The standard of care may change over time as new methods and research are developed. Please contact the assigned investigator immediately if you have not had experience actually treating the condition or performing the procedure. The Board has many cases to be reviewed so there will be future opportunities for you to perform this valuable service.

Please also determine if there is any reason you cannot provide an objective opinion because of a professional, business, and/or personal relationship with the subject physician or any witness in the case. If you know the subject physician and/or any witnesses in the case, please immediately contact the assigned investigator and advise them of the nature of your relationship. You will be advised whether or not you should continue with the review.
Reviewing the Case

When you start to review the case, make sure you received everything listed on the investigator’s cover letter. Audio recordings of subject interviews should be included, as well as any x-rays, ultrasounds, or other diagnostic tests. As you complete your review, if you find you are missing information vital to forming your opinion (missing medical records, illegible records, information from witnesses, medical records from another provider) contact the assigned investigator immediately and request the information needed. Please do not complete your report until the missing information is received. Preparing a report when information is missing will require you to complete an addendum report after the necessary information is obtained. This can be extremely detrimental to the case.

It is important that you listen to the recording of the physician interview, and not rely on the summary of the interview prepared by the investigator or rely exclusively on the transcript of the interview, if one exists.

Do not remove any pages from or make any marks on the records provided to you. Ensure that records, reports and materials (including any audio recordings), provided for your review are kept confidential and secure. Track dates and hours spent reviewing.

Do not attempt to contact any witnesses yourself. Keep all materials confidential and do not discuss the case with anyone other than Board staff. If you find potential problems with the care other medical providers have given, call the assigned investigator and let them know your concerns. Do not include that information in your report. Another case can be opened on the provider you have identified.

You are authorized 10 hours at the beginning of your review, however, if you need more time, contact the assigned investigator. The important thing is to obtain authorization for more hours before you complete them. Additional hours need to be approved in advance in order to avoid a delay in reimbursement.
Preparing your Report

Your expert report is the most important aspect of your review. Your report will be reviewed by the Investigator and Deputy Attorney General assigned to the case to determine how the case will proceed. It is imperative that you strictly adhere to the provided report format. The following expert report format was designed to limit the need for addenda and provide an easy template for you to follow in preparing your report.

The Board is doing everything possible to prevent the need for an addendum. Expert addenda often detract from an expert’s credibility. The only exception would be if the Board sent you materials at a later time to review and wanted you to prepare a brief addendum stating whether or not the additional materials change your original opinion. An example of this might be expert depositions that were not originally sent to you so that your opinion would not be biased.

Your expert report should be typed using an easily readable type style and, at least 12 (standard) font and submitted on your office letterhead. The pages should be numbered and it should be signed and dated on the last page. Review your report against the samples provided. Make sure you followed the correct format and included all the headings and sections required.

It is important to note that there is no such thing as a “draft report.” Do not e-mail or fax draft reports. It is important to proofread your report prior to submission. If you have any questions about the preparation of your report, please call the assigned investigator.

Please complete the Task Order/Expert Reviewer Checklist for each service you perform for the Board and submit the completed form with your statement of services (see following page for sample form). The completed Task Order form is a supporting document to your statement of services (bill). The Expert Reviewer Checklist section will assist you in confirming that all the necessary requirements of the expert report have been met.
I _______________ D.O. / M.D. (hereinafter “Contractor”) enter into this Task Order, according to the terms and conditions of the said contract.

1. TASK(S): Check each box that applies.
   □ The preparation of expert opinions on enforcement related matters, including technical subject matters, professional standards and any deviations therefrom, the quality and completeness of evidentiary material, and assistance in all phases of the judicial and administrative process including hearings and appeals, if required.
   □ The evaluation of the mental or physical health of a licensee or an applicant for licensure.
   □ Assistance as a subject matter expert in the development, maintenance, administration, validation or occupational analysis of licensing examinations.

Provide description of the task(s) to be performed:

CASE #: __________________________
PHYS: ____________________________
PT: ______________________________
OTHER: __________________________

2. TASK(S) COMPLETION DATE: ________________________

3. TOTAL NUMBER OF ALLOCABLE HOURS SHALL NOT EXCEED: 10

4. AUTHORIZATION FOR PAYMENT: My services will be billed
   □ at a rate of $150.00 per hour       □ at a rate of $____ per day

   I understand that the Agency will allocate an approximate number of hours for each task or service to be provided under this Contract. If I need to exceed those hours, I agree to contact Mark M. Ito of the Agency in advance for authorization. I further understand and acknowledge that I will not be compensated for work performed without specific prior written authorization from the Agency.

5. AGENCY ☐ AUTHORIZES / ☐ DOES NOT AUTHORIZE TRAVEL AND/OR PER DIEM FOR THE TASK(S) SPECIFIED IN SECTION #1.

   EXPERT REVIEWER CHECKLIST
   □ I have reviewed all the materials provided to me
   □ I have followed the format for the expert report by identifying a list of medical issues, and for each issue, I have included a standard of care, analysis, and conclusion section.
   □ In my conclusion section, I have only used the correct terms of no departure, simple departure, extreme departure, and/or lack of knowledge.
   □ I have submitted my expert report on my letterhead; it is dated, paginated, proof read, and includes my signature.
   □ I have included my completed Expert Statement of Services Form and have attached the necessary receipts for items such as transcription costs.

   Board/Bureau/Program: Osteopathic Medical Board                      Contractor: ______________________ D.O. / M.D.
   Task Ordered By: __________ Mark Ito                                 Signature: __________________________

   Signature: __________________________________ Date: __________________________
   Date: ____________________________________
THE OPINION ITSELF

There are Model Expert Opinions appended to these guidelines. Please refer to those when writing your opinion, but remember they are only examples.

Contents - your expert opinion should contain the following headings:

- Materials Reviewed
  - List all attachments and property items given to you for review.
  - Listen to the audio recordings (of interview) provided to you before reaching an opinion or finalizing your report.

- Summary of Case
  - Do not rely on the medical consultant’s summary, you must create your own summary from the materials provided to you.
  - Describe the treatment history of the patient with the subject practitioner. When did he/she start seeing the doctor, what for, what symptoms were being treated, and how.
  - When referring in your report to a specific document/medical record in the materials provided to you, identify it in parenthesis; i.e. “Chest x-rays disclosed a 7mm coin lesion of the right lung (Attachment 4, page 9).”

- Medical Issues Identified
  - Address all medical issues identified by the Central Complaint Unit (CCU) Medical Consultant and/or the District Office Medical Consultant (DMC). Also discuss any other medical issues that you have identified.
  - Number the medical issues. The medical issues will be broken down and discussed further in your opinion.

- Standard of Care
  - For each medical issue identified you will have a sub-heading of “Standard of Care.” Provide a detailed description of the standard of care for each medical issue. Be careful not to substitute your own practices (which may be above and beyond the standard) for the standard of care.
  - The standard of care is the level of skill, knowledge and care in diagnosis and treatment ordinarily possessed and exercised by other reasonably careful and prudent physicians in the same or similar circumstances at the
time in question.

- It is also important to note that you are examining the practitioner’s acts based on the standards in place at the time of the acts or treatment, not by today’s standards. The standard of care can change in specialty practice and you have to articulate what the standard was at the time of the alleged conduct.

**Analysis**

- For each medical issue identified you will have a sub-heading of “Analysis.” This will directly follow the standard of care section for the medical issue.

- Here you will apply the facts of the case to the standard of practice. You will describe what the subject physician did or did not do relating to the standard of care. Refer to page numbers of the medical records in parenthesis as you go. This is helpful not only to those reading your opinion, but also if you are needed to testify at an administrative hearing. Having page numbers identified makes it easy for you to refresh your recollection of the case and to be able to explain your conclusions.

**Conclusion**

- For each medical issue identified you will have a sub-heading of “Conclusion.” This will directly follow the analysis section.

- Describe the departures from the standard of care. You must only use the following terminologies: no departure, simple departure, extreme departure, and/or lack of knowledge.

Once the decision has been made that there was a departure from the standard of care, you must identify the departure as simple or extreme. When making the decision to classify the departure, consider the following:

“Negligence and gross negligence are relative terms. ‘The amount of care demanded by the standard of reasonable conduct must be in proportion to the apparent risk. As the danger becomes greater, the actor is required to exercise caution commensurate with it.’” (Gore v. Board of Medical Quality Assurance (1980) 110 Cal. App. 3d 184,198, citing Prosser, Law of Torts (4th ed. 1971) at p.180.)
Negligence is the failure to use that level of skill, knowledge and care in diagnosis and treatment that other reasonably careful physicians would use in the same or similar circumstances. A negligent act is often referred to as a “simple departure” from the standard of care.

Gross negligence, on the other hand, is defined as “the want of even scant care” or “an extreme departure from the standard of care.” Gross negligence can be established under either definition, both are not required.

A word about words: the terms Negligence and Gross Negligence are legal conclusions, therefore the reason we ask you not to use them is because it would be analogous to rendering a legal conclusion versus a medical opinion.

In medicine, standards of care (also referred to as “standards of practice”), whether established by law or the medical community, are designed to protect patients from the risk of harm. The standard of care for general practitioners is defined as that level of skill, knowledge, and care in diagnosis and treatment ordinarily possessed and exercised by other reasonably careful and prudent physicians in the same or similar circumstances at the time in question. Specialists are held to the standard of skill, knowledge and care ordinarily possessed and exercised by other reasonably careful and prudent specialists in the same or similar circumstances at the time in question.

A physician’s departure from the applicable standard of care is either negligence or gross negligence. When determining whether a departure is a simple departure (negligence) or an extreme departure (gross negligence), the determining factor is the degree of departure from the applicable standard of care.

Where, for example, the standard of care in the medical community requires a physician to take several steps in the detection, diagnosis and treatment of a patient presenting with possible breast cancer (e.g., complete history and physical, breast examination, mammogram, biopsy, surgical oncology consultation, all on a timely basis), a departure from that standard would, depending on the degree, constitute either a simple departure or an extreme departure from the standard of care.

Likewise, under section 2266 of the Medical Practice Act, “[t]he failure of a physician and surgeon to maintain adequate and accurate records relating to the provision of services to their patients constitutes unprofessional conduct.” Here, the standard of practice applicable to medical records has been established by law. A physician’s failure to maintain adequate and accurate medical records would (in addition to being a violation of section 2266) be a departure from this legislatively-created standard of practice and, depending on the degree (e.g., partially illegible records, missing information, no records at all), constitute either a simple departure (negligence) or extreme departure (gross negligence).

If there are multiple negligent acts, it is important to explain whether they are related acts or, alternatively, separate and distinct acts. For example, an initial negligent diagnosis (e.g., failing to correctly diagnose a broken bone) followed by an act or omission medically appropriate for that negligent diagnosis (e.g., failing to place the patient in a cast)
constitutes a single simple departure. However, if a physician failed to order appropriate lab tests on three separate occasions when they should have been ordered, each of those failures is a separate and distinct simple departure because, on each visit, the physician had an opportunity to treat the patient in accordance with the standard of care. Keep in mind that there may also be situations where on the same treatment visit, there may be multiple, separate and distinct simple departures from the standard of care.

**When determining whether a failure to practice in accordance with the standard of care constitutes either a simple or extreme departure, do not consider patient outcome.** Rather, focus on how, why and the degree the care provided, or not provided, to the patient deviated from the standard of care, regardless of whether ultimately there was injury or death to the patient. Some cases with significant patient injury or death may involve only simple departures from the standard of care, while other cases where the patient suffered no harm or injury at all may involve extreme departures from the standard of care.

- Be sure to explain **why** the care provided, or not provided, to the patient is a departure from the standard of care. For example, do not just state your conclusion that the physician’s care was a simple or extreme departure from the standard of care. State **why** and be **specific**. Your conclusion might be the doctor failed to order follow up laboratory tests and that is a _________ departure from the standard of care.

- Ambiguous terms, such as a “severe” or “significant” departure from the standard of care, may not be used. The terminology must be either simple or extreme departure from the standard of care.

- Each medical issue might have multiple areas to be discussed. Be sure to state your conclusions for each.

- Incompetence is generally defined as an absence of qualification, ability or fitness to perform a prescribed duty or function. Remember that the terms simple departure, extreme departure and lack of knowledge are not synonymous. Rather, a physician may possess the knowledge and ability to perform a given duty but exhibit a simple or extreme departure from the standard of care in performing that duty.
Terminology

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<thead>
<tr>
<th>Terms to Use</th>
<th>Terms NOT to Use</th>
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<tr>
<td>No departure</td>
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<td>Simple departure</td>
<td>Simple Negligence</td>
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<td>Ordinary Negligence</td>
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- **Multiple Patients**

When reviewing a case involving more than one patient, summarize the care provided, state the standard of care that applies, analyze whether the care provided represents a departure from the standard of care, and set forth your conclusion(s) for each patient independently.

If you receive multiple cases on the same subject physician but they have different case numbers, prepare a separate report for each case number, do not combine them in one report.

- **Objectivity**

It is critical to the integrity of due process that you conduct your review and prepare your report with objectivity. Remember that you are neither an advocate for the Board nor for the physician. Do not make judgments or subjective comments. View the assigned case without regard to any other legal activity which may surround it. Specifically, you should ignore the existence, nonexistence or magnitude of any civil judgments or settlements involving the case. Since you may not be reviewing the same documents which were used to support or refute a civil case, you should not consider any past adjudicatory history. As the expert reviewer, you should focus on the medical and other case records, not on the reports, depositions or testimony of other expert witnesses.
Effect of Mitigation

In writing your opinion, you are asked to summarize the treatment rendered and the findings of the subject physician. There may have been factors in the case that prevented treatment consistent with the accepted standard of practice. If so, identify those factors. Please remember that it is your obligation to state the standard of practice and any departure from it.

Mitigation is defined as an abatement or diminution of penalty or punishment imposed by law. Although there are instances where mitigating circumstances are relevant to the imposition of any penalty, those factors will be considered by the trier of fact (the ALJ). Therefore, you are asked to refrain from commenting whether the subject physician should or should not be punished because of certain mitigating or aggravating factors. Clearly state in your opinion what the mitigating or aggravating factors involved in the case are. Do not state an opinion as to the degree the circumstances should affect the discipline imposed. The actual discipline to be imposed on the physician is the province of the trier of fact, and you are not expected to prescribe or recommend any discipline in the case.

Injury Is Not Essential

The focus of an expert review is on whether there has been a departure from the accepted standard of practice, not whether the patient has been injured. Although the potential for injury exists due to the departure from the standard of practice, and the degree of that departure, actual injury is not required to establish a violation of the Medical Practice Act. Patient outcome is not to be considered when determining whether the departure is simple or extreme.

Physician Responsibility

During the course of a review, you may have to determine the level of responsibility of a supervising physician. The attending physician is ultimately responsible for the care provided to the patient. Therefore, if resident physicians are providing care to the attending physician’s patient, part of the attending physician’s responsibility is to provide appropriate supervision of the residents. Attending physicians are expected to use good judgment in determining the level of supervision appropriate for the situation.

These physicians must take into account the clinical problems being addressed and the resident’s level of training, skill and knowledge. Reviewers, in assessing whether good judgment was used, should consider what a reasonable and prudent physician would do in the circumstances under review. Obviously, even a well-supervised resident can deliver substandard care. The attending physician, however, cannot be blamed for an adverse event if he or she took reasonable steps to provide appropriate supervision and oversight. Among the most useful evidence indicating that appropriate actions were taken is documentation in the medical record.
Assess the Standard of Practice As of the Time of the Violation

The standard of practice is constantly evolving, and so it is particularly important to be cognizant of the time that the violation occurred and assess the case in terms of the standard of practice AT THAT TIME. For instance, the prescribing of a certain drug for a medical condition may be totally contraindicated now, but if the subject physician prescribed it in 2004, the state of knowledge about that drug and its contraindications may not have been as clear. Thus, any opinion should speak to the standard in 2004, not the standard at the present time.

Terms to Avoid

**Exacerbation:** Certain situations or conditions may exacerbate a physician’s actions with respect to a case. For example, being inebriated while seeing a patient may exacerbate an underlying lack of knowledge or ability. While it is appropriate to describe exacerbating conditions, an expert reviewer should not assign value judgments to them. This will be done at hearing.

**Guilt or Innocence:** The expert reviewer’s role is to determine whether, and in what manner, a physician’s actions depart from the standard of medical practice, or demonstrate a lack of knowledge or ability. The trier of fact will determine guilt or innocence.

**Judgmental or subjective comments:** Avoid terms such as “this guy is clearly incompetent” or “no one in his right mind would do ... ” Your report should objectively establish what behavior was expected and how the physician failed to meet the expectation.

**Malpractice:** Malpractice is a term which applies to civil law (i.e., suits between individuals). The Medical Board functions under administrative law, and its cases are based on violations of that law involving unprofessional conduct. Expert reviewers should not let information regarding malpractice filings, settlements or judgments affect their review of a case. The standards of evidence and proof for civil cases differ from administrative cases.

**Penalties:** It is not the role of the expert reviewer to propose or recommend a penalty. This will be determined at hearing, based on detailed guidelines adopted by the Board and utilized by Administrative Law Judges.

**Personalized comments:** Avoid characterizing the actions of the physician in personal terms: “she was rude and unprofessional to the patient.” Instead, describe what the expected standard was, and how the physician deviated from the standard: “The standard of practice is to explain the procedure, answer the patient’s questions, and obtain informed consent. There is no record showing that the procedure was explained to the patient and informed consent obtained.”
MODEL EXPERT OPINION #1
This opinion is an example of a written report prepared according to guidelines/recommended report format. It is provided for the purpose of reference as to form and expressions only, and in no way, reflects the decisions of the Board. The places, persons, and events are fictional.

Robin Jones, M.D., F.A.C.S.
General Surgery
Diplomate, American Board of Surgery
800 E. Walnut St., Suite 100
Los Angeles, CA 90013
Tel. (213)551-0000; Fax (213) 551-0001

Date

Investigator/Medical Consultant (requesting review)
Medical Board of California
Street Address (of District Office requesting review)
City CA Zip

Re: Jane Doe, M.D.
Case: 17-2008-000000
Patient: Joe Smith

MATERIALS REVIEWED:

1. Investigation report
2. Memorandum from District Medical Consultant
3. 801 Report
4. Curriculum vitae of Dr. Jane Doe
5. Operative/Pathology report
6. Certified medical records from Dr. Jane Doe
7. Certified medical records from Dr. Jon Deere
8. Certified medical records from Eastside Community Hospital
9. Medical photographs
10. CD of interview of Dr. Jane Doe
11. CD of interview of Dr. Jon Deere
SUMMARY OF CASE:

This case was initiated by the Medical Board of California upon receipt of a Business and Professions Code, Section 801 report. Eighty thousand dollars was awarded to Joe Smith (patient) by XYZ Indemnity Company on behalf of their insured, Dr. Jane Doe. According to the report, the right side of the colon was removed on 7/26/04 for treatment of what appeared to be a colon cancer.

Review of the medical records of Dr. Doe showed that Dr. Deere had performed a colonoscopy for persistent abdominal pain on 7/25/04 (page 2). Dr. Deere obtained photographs of biopsy specimens of what he interpreted to be a right colon mass. Both Dr. Deere (gastroenterologist) and Dr. Doe (surgeon) agree that Dr. Deere contacted Dr. Doe the same day of the colonoscopy and asked him to operate on the patient (page 3 of Dr. Deere’s records, page 1 of Dr. Doe’s records). The patient was admitted to Eastside Community Hospital that afternoon (page 1 of hospital records). Dr. Deere gave the patient a bottle with a biopsy specimen to be hand carried to the hospital (Dr. Deere’s records, page 3). Dr. Doe claimed that Dr. Deere (referring physician) had instructed her to operate on patient John Smith without awaiting for biopsy results because the colonoscopy findings were consistent with cancer. The surgeon, Dr. Doe claimed that Dr. Deere had told her that this was a very fragile patient, who just had undergone an extensive bowel preparation and he wanted to avoid the patient the trauma of a second bowel preparation (page 3 of Dr. Doe’s records). Dr. Deere stated that as shown by the colored photographs, colonoscopy findings were “consistent with colon cancer.”

Preoperative work up showed that there were electrocardiographic abnormalities consisting of T-wave inversions and some ST depressions (page 7 of hospital records). Chest x-ray disclosed a 7 mm coin lesion of the right lung (page 9 of hospital records).

A partial colectomy was performed by Dr. Doe on the day following colonoscopy (page 12 of hospital records). All involved parties agreed that at that time, no biopsy results of colonoscopy specimens were available. At operation, a mass like structure was palpated by the surgeon in the ascending colon (page 25 of hospital records). There was no documentation of a thorough evaluation of the remainder of the large bowel nor of a complete abdominal exploration. Dr. Doe performed removal of the right side of the colon (page 16 of hospital records). She re-established the continuity of the bowel transit by bringing together the terminal small bowel with the remaining colon. Upon removal of the operative specimen, she opened it and realized that what appeared to be tumor was actually a conglomerate of hard feces (page 16 of hospital records). She told the patient and the patient’s family of her error. She watched the patient postoperatively. Hospital records showed that on 7/30/04 and 7/31/04, serum potassium was 2.5 and 2.6, respectively (pages 31 & 32 of hospital records). There was no documentation in records showing that the patient received aggressive treatment of this low serum potassium. The patient was discharged on 8/4/04.
MEDICAL ISSUES:

1. **Initial evaluation of the patient by the surgeon**

   - **Standard of Care:**
     
     Elective colon resection for colon cancer requires a positive diagnosis. This is achieved by awaiting the written pathologist’s report of the biopsies taken at colonoscopy, or at least the pathologist’s verbal report.

   - **Analysis:**
     
     Dr. Doe operated on this patient based on the verbal report of the colonoscopist and her own assessment of the photographs obtained at colonoscopy. She alleged that she wanted to avoid another bowel preparation to the patient. This is not a valid reason. The risk of performing an unnecessary colon resection by far outweighs the risks of another bowel preparation and waiting for a definitive pathology result.

   - **Conclusion:**
     
     Extreme departure from the standard of care for performing colon resection without a pathology report corroborating the suspected diagnosis of cancer.

2. **Medical clearance for operation**

   - **Standard of Care:**
     
     The standard of care is to evaluate the suitability for operation prior to performing general anesthesia and colon resection. This is best done by an internist, a cardiologist or a pulmonologist. Preoperative clearance for operation by the surgeon is acceptable if the surgeon has comparable knowledge, orders and interprets all required preoperative tests and properly acts upon evaluating the test results.

   - **Analysis:**
     
     This patient had co-morbid conditions. There was no documented discussion about the abnormal electrocardiographic results which showed myocardial ischemia. No reason was documented of why the possibility of myocardial ischemia was not further evaluated prior to
subjecting this patient to elective surgery. The presence of a lung coin lesion may or may not be related to spread of an alleged cancer. Its mere presence is not a contraindication for operation because even if this would be a small metastasis of the cancer, an unchecked colon lesion exposes a patient to early death due to bleeding, obstruction or perforation.

During the subject interview, Dr. Doe stated she referred the patient to cardiologist, Dr. Buck. However, Dr. Doe admitted that she did not document her evaluation of the patient, nor the referral to the cardiologist.

♦ Conclusion:

Simple departure from the standard of care for failure to document an evaluation for possible myocardial ischemia prior to elective operation.

3. Intraoperative evaluation of the mass

♦ Standard of Care:

The standard of care is to perform a thorough intraoperative evaluation of the suspected mass. This should include a thorough palpation to ensure that the mass is actually attached to the bowel wall and not merely bowel contents. It should comprise an evaluation of the adjacent bowel wall to detect the degree of penetration of the lesion into the wall. A comparison of the operative findings with the colonoscopic findings should be performed. Bowel palpation can determine whether the mass has the softness of stool or the hardness of a malignant tumor. The remainder of the colon should be evaluated to determine whether there is a single lesion or multiple ones. Thorough exploration should be performed to determine extension of tumor into the lymph nodes or other abdominal organs. The presence of peritoneal seeding by cancer should be checked by running the small bowel from the ligament of Treitz to the ileocecal valve. The surgeon should confirm the actual presence of a mass and to dispel any doubts regarding its presence, prior to proceeding with resection.

♦ Analysis:

In this particular case, the surgeon alleged to have performed “palpation of the small and large bowel” intraoperatively but she did not document a thorough examination of the colon nor small bowel. She did not document evaluating the “mass” to rule out any entity simulating a tumor such as hard bowel contents. There was no mention in her report of any attempt to evaluate for bowel wall involvement, mobility of the suspected mass and staging of tumor. The surgeon’s
reliance on the colonoscopic findings was not justified. The colonoscopist had told her that the bowel was well prepared. The whole objective of proceeding promptly with operation was to take advantage of such alleged bowel emptiness. At operation, the surgeon corroborated that the bowel was not empty. Further reliance on the colonoscopist’s contentions could not be justified.

♦ Conclusion:

Extreme departure from the standard of care for inadequate intraoperative evaluation and staging of suspected colon cancer.

4. Medical records keeping

♦ Standard of Care:

The standard of care is to proceed with operation after a history and physical had been documented in records.

♦ Analysis:

The history and physical of this patient was dictated five weeks after admission. It was performed after a surgical error and its consequences were known.

♦ Conclusion:

Simple departure from the standard of care for proceeding with operation without a history and physical examination in records.

5. Coverage of the postoperative internal medicine needs of the patient

♦ Standard of Care:

The standard of care is that the internal medicine needs of an operated patient be properly taken care for. This is usually done by an internist or hospitalist. It could also be properly performed by a knowledgeable surgeon.

The standard of care is to keep the potassium level within normal limits (3.6-5.5 MEQ/L).
Analysis:

In this particular case, laboratory tests showed persistently low potassium. No internist was consulted. The surgeon chose not to add a potassium “rider” but to slowly replenish the potassium level over several days.

Conclusion:

Simple departure from the standard of care for failure to increase potassium level in a more rapid manner.

(Signature) Robin Jones, M.D. (Date) 1/5/09
ROBIN JONES, M.D., F.A.C.S.

References:
MODEL EXPERT OPINION #2

This opinion is an example of a written report prepared according to guidelines/recommended report format. It is provided for the purpose of reference as to form and expressions only, and in no way, reflects the decisions of the Board. The places, persons, and events are fictional.

Anthony Brown, M.D., A Professional Corp.
Diplomate, American Board of Psychiatry
123 Central Avenue, Suite 500
Sacramento, CA 95825
(916) 263-0000

Date

Investigator/Medical Consultant (requesting review)
Medical Board of California
Street Address (of District Office requesting review)
City CA Zip

Re: Jane Doe, M.D.
Case: 17-2008-000000
Patient: Joe Smith

MATERIALS REVIEWED:

1. Investigation report
2. Partially Redacted Memorandum from CCU Medical Consultant
3. Patient Complaint
4. Certified medical records from Dr. Jane Doe
5. Certified medical records from Dr. Jon Deere
6. Certified medical records from Eastside Community Hospital
7. Recorded pretense call between Joe Smith and Jane Doe, M.D.
8. Curriculum vitae of Dr. Jane Doe
9. Memorandum from District Medical Consultant Jones
10. CD of interview of Dr. Jane Doe
SUMMARY OF CASE:

This case was initiated by the Medical Board of California upon receipt of a patient complaint received from Joe Smith. Joe Smith is a 21 year old student attending the University of California, Oxnard. He first received psychiatric treatment on March 15, 2007. At the time, Mr. Smith had sought evaluation at the Eastside Community Hospital for a 1-2 month history of auditory hallucinations critical of him and telling him to kill himself. The patient was placed on a “5150″ involuntary hold as a danger to himself, and was admitted on an involuntary basis to Eastside Community Hospital for inpatient psychiatric treatment. [7] He was an inpatient for three days under the care and treatment of the attending psychiatrist Dr. Jane Doe, until his discharge from the hospital on March 18, 2007. The patient’s admission and discharge diagnosis from Eastside Community Hospital was “Psychotic Disorder, Not Otherwise Specified.” [12] He had been treated with the anti-psychotic medication Zyprexa, and was discharged with instructions to continue Zyprexa at 10mg a day, and pursue psychiatric treatment. [14]

Mr. Smith continued in psychiatric treatment with Dr. Jane Doe as an outpatient after his discharge from the hospital. He attended a total of seven outpatient sessions with Dr. Doe, from April 2007 until August 2007. During their last session on August 18, 2007, Dr. Doe noted that Mr. Smith was “still complaining of depression and sleep problems.”[31] She noted that his primary care MD, Dr. Deere, had changed the antidepressant medicine from Prozac to Effexor and had prescribed the anti-anxiety and sleep medicine Ativan, as well as Ambien. [31] She further noted that the patient “needs an antipsychotic medicine”, and changed his diagnosis from “Psychotic Disorder, NOS” to “Major Depression with Psychotic Symptoms in partial remission.”[32] She wrote that Mr. Smith was to return to her office in one month. At the last session, Dr. Doe did not terminate the treatment, rather Mr. Smith chose not to return for his next scheduled session.

Mr. Smith reports that his next contact with Dr. Doe was about two months later, in October 2007. He states that they ran into each other at a shopping mall, and briefly greeted each other. The next contact was in early December 2007, when they ran into each other at a book store, The Read ‘til U Drop. Mr. Smith states that Dr. Doe approached him while he was in the parking lot of the bookstore and gave him her card. A week later, Mr. Smith called and left a message for Dr. Doe, inviting her to attend a concert in Santa Barbara. He states that Dr. Doe met him at the concert, and they had their first sexual encounter later that night. He states that they did not see each other over the holidays. However, from January to March, 2008, they saw each other at least 3-4 times a week, during which time they had sexual relations on a number of occasions.

During this time, Mr. Smith was being treated by Dr. Deere for various issues. On a February 2, 2008 visit, Dr. Deere noted, “I am suspicious that the symptoms the patient complains of with left sided pain
is probably related to musculoskeletal tension that might be related to underlying unclear etiology as well as to his depressed mood and the general life stressors that have impinged on him recently... I have referred this patient to follow-up with a psychiatrist... and I believe that he will benefit from a course of antidepressant medication. ...” [24] On another visit on February 9, 2008, Dr. Deere notes: “I strongly feel that this patient is increasingly depressed, will reevaluate medication.” [28]

Dr. Deere informed Sr. Inv. Coe that while Mr. Smith did not provide specific details, he did advise Dr. Deere that he had began a new relationship during this time. This information is noted in Dr. Deere’s visit note of January 27, 2008 [15] Mr. Smith states that his disabling symptoms seemed to increase during the time he and Dr. Doe were seeing each other.

On June 15, 2008, Mr. Smith made a pretense call to Dr. Doe. During the conversation Mr. Smith told Dr. Doe that he missed her and wanted to see her again. Dr. Doe does not respond to Mr. Smith’s requests, except to state that she is unable to talk to him, and will call him at a later time.

In her recorded interview with the Medical Board, Dr. Doe denies that she had sexual relations with Mr. Smith. Although, she admits that she attended a concert at Mr. Smith’s request.

MEDICAL ISSUE(S):

1. Sexual Relations with a Patient or Former Patient

   ♦ Standard of Care:

   The 2001 Code of Ethics of the American Medical Association and the American Psychiatric Association established the standard of care regarding physicians having a sexual relationship with a patient or former patient.

   The American Psychiatric Association Principles of Medical Ethics (2001:section 2.1) concludes the following:

   "The requirement that the physician conduct himself/herself with propriety in his/her profession and in all actions of his/her life is especially important in the case of the psychiatrist because the patient tends to model his/her behavior after that of his/her psychiatrist by identification. Further, the necessary intensity of the treatment relationship may tend to activate sexual and other needs and fantasies on the part of both the patient and psychiatrist while weakening the objectivity necessary for control. Additionally, the inherent inequality in the doctor-patient relationship may lead to exploitation of the patient. Sexual activity with a current
or former patient is unethical.”

The American Medical Association Code of Ethics, section 8.14 state:

“Sexual or romantic relationships between a physician and a former patient may be unduly influenced by the previous physician-patient relationship. Sexual or romantic relationships with former patients are unethical if the physician uses or exploits trust, knowledge, emotions or influence derived from the previous professional relationship.”

The standard of care is for a psychiatrist NOT to have a sexual relationship with a patient or former patient.

♦ Analysis:

Dr. Doe had an established doctor-patient relationship with Mr. Smith. Several months after his last visit with Dr. Doe, Mr. Smith and she entered into a sexual relationship. Although, neither Dr. Doe nor Mr. Smith terminated the doctor-patient relationship, he was being treated by another psychiatrist at the time they began their sexual liaison, therefore while arguably he may have been considered a patient he was definitely a former patient. In any event, Dr. Doe departed from the standard of care by engaging in a sexual relationship with Mr. Smith.

♦ Conclusion:

Extreme departure from the standard of care for engaging in a sexual relationship with a former patient.

(Signature) Anthony Brown, M.D.       (Date) 1/5/09
ANTHONY BROWN, M.D.

References:
1. American Medical Association Code of Ethics, 2001
2. American Psychiatric Association Principles of Medical Ethics, 2001
3. xxx
MODEL EXPERT OPINION #3

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Note: In sexual misconduct cases, there are usually two versions of the events. The patient will allege that sexual misconduct occurred. The physician may allege that sexual misconduct did not occur or that the physician’s actions were misinterpreted by the patient. The role of the expert reviewer is not to determine who is right or who is wrong. The role of the expert is only to determine whether or not the actions alleged by the patient constitute a departure from the standard of care. It is the role of the trier of facts to determine the validity of the allegations. PLEASE DO NOT ADD ANY COMMENTS IN YOUR OPINION ABOUT WHAT YOU BELIEVE COULD HAVE HAPPENED. Any unsolicited comments may compromise the integrity of the case.

Date

Investigator or Medical Consultant (requesting review)
Medical Board of California
Street Address (of District Office requesting review)
City CA Zip

Re: Case 17-2008-000000 (John Doe, M.D.)

Materials Reviewed:

1. Investigation report
2. Complaint from SF Police Department
3. Complaint from Patient Jane Go
4. Complaint from Patient Susan Dove
5. Medical records of Patient Go from Dr. Doe
6. Medical records of Patient Dove from Dr. Doe
7. SF Police Department’s report on patient Dianna Smith
8. Medical Records of Dianna Smith from Dr. Doe
PATIENT: DIANNA SMITH

♦  Summary of Case:

On 2/1/08, Dianna Smith reported to the San Francisco Police Department what she thought was unusual behavior of Dr. John Doe during her last visit at his office. Patient Smith stated that she was seen by Dr. Doe on 2/1/08 for her annual physical examination. While she was in the examining room, behind closed doors, Dr. Doe started to touch her in an unusual manner. Patient Smith first thought it was part of the examination and allowed him to continue. Then, Dr. Doe touched and rubbed her breasts with his hands. He then placed his hand next to her vaginal area, maneuvering his hands under the garments and touching her vagina. At that time patient Smith pushed him away and told him that she was going to report his actions.

Dr. Doe opened the door and allowed patient Smith to leave. She went home and told her mother and was advised to file a report.

♦  Medical Issue(s) Identified:

1. Examination of breasts and genitalia

■ Standard of Care:

The standard of care is to perform breast and genital examination in the presence of a female chaperone. The standard of care for breast examination is to advise the patient that her breasts are going to be examined and to obtain her permission for breast examination. The standard of care does not include rubbing the breast or touching them for no medical reason. The standard of care is to touch the genitalia of a female patient only for good medical reason and after obtaining permission from the patient to proceed with such examination. The standard of care is to touch the genitalia of the patient only while wearing gloves.

■ Analysis:

Dr. Doe did not allege that a chaperone was present during the patient’s examination. He did not allege that he obtained consent for breast and genital examination of the patient. There was no documentation showing that the patient was in gynecological position nor that Dr. Doe was gloved while performing genital examination.
Conclusion:

The alleged actions of Dr. Doe represent an extreme departure from the standard of care because he did not have a chaperone present while examining the breasts and genitalia of a patient. He did not obtain her consent for such examinations and the patient was not properly positioned for pelvic examination. He did not wear gloves during examination.

PATIENT: JANE GO

Summary of Case:

Patient Jane Go was a 32-year-old divorcée who saw Dr. Doe for a variety of medical problems from 2002 to July 2008. In January 2007, she began to have a social relationship with Dr. Doe which led to a sexual relationship. She continued to have sexual relations with Dr. Doe until July 2008 when she found out that Dr. Doe was unfaithful to her and was having sexual relations with other patients. She decided to report him to the Medical Board of California.

Medical Issue(s) Identified:

1. Sexual relations with patient

Standard of Care:

The standard of care is to preserve the boundaries of the physician-patient relationship.

Analysis:

There is documentation showing the existence of a patient-physician relationship which was uninterrupted from 2002 until July 2008. There is an allegation of repeated sexual relations while patient Go was being cared for by Dr. Doe.

Conclusion:

Dr. Doe’s alleged action is an extreme departure from the standard of care (sexual relationship with an active patient).
PATIENT: SUSAN DOVE

♦ Summary of Case:

Patient Susan Dove was a 34-year-old female undercover agent who was equipped with a hidden surveillance equipment. She consulted with Dr. Doe on 7/1/08 for an ankle injury. At interview, she told Dr. Doe that she was a professional tennis player who had injured her ankle. Dr. Doe examined her and prescribed two medications for pain and inflammation. He then walked over to the sink and washed his hands. While the patient was sitting on the examination table, he stood in front of her with a light instrument and checked her eyes and mouth. He then asked her to turn her head to the right to check her left ear. At that time he quickly lifted up her shirt from the waist above her left breast. He lifted up her left breast and pulled up the left side of her bra. Her breast was exposed and he touched her nipple and breast with his hands. Patient Susan Dove pushed him away and asked in shock, “whoa, whoa, whoa, what are you doing?” She quickly pulled down her bra and shirt. Dr. Doe stepped backward and stated that he was sorry and that he was trying to check her stomach.

♦ Medical Issue(s) Identified:

1. Appropriateness of stomach examination/touching breast and nipple during stomach examination

■ Standard of Care:

The standard of care is to avoid exposure of the breast while a chaperone is not present in the room. The standard of care is to avoid touching the breast and nipple while performing abdominal examination. The standard of care is to perform abdominal examination with the patient lying down. If large breasts impede adequate abdominal examination, asking the patient to raise her arms, will raise the breasts sufficiently.

■ Analysis:

Review of video images corroborated that the breasts were exposed while in sitting position. It showed that one hand of the physician (Dr. Doe) was placed upon the breast and nipple. There was no documentation showing that there was a chaperone in the room. There was no documentation showing that the patient was advised that her breasts were going to be touched nor was there any documentation showing that permission was granted for lifting the breasts. Palpation of the abdomen was not performed after lifting the breast. If it was performed, it
would have been below the standard examination practice because the patient was in sitting position. The patient was not requested to raise her arms to lift her breasts. There was no medical reason to uncover the breasts.

**Conclusion:**

Dr. Doe’s alleged action is an extreme departure from the standard of care because he uncovered the patient’s breast without a chaperone in the room. He touched the breast and nipple without good medical reason. He alleged that he attempted to perform examination of the abdomen, in substandard fashion.

(Signature) Douglas Jones, M.D.       (Date) 1/5/09
DOUGLAS JONES, M.D.
Diplomate, American Board of Internal Medicine
MODEL EXPERT OPINION #4

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Diplomate, American Board of Radiology

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Tel. (818) 551-0000; Fax (818) 551-0001

Date

Investigator/Medical Consultant (requesting review)
Medical Board of California
Street Address (of District Office requesting review)
City, CA Zip

Re: John Doe, M.D.
Case: 17-2008-000000
Patient: Jane X. Smith

MATERIALS REVIEWED

1. Senior Investigator’s report.
2. Memorandum from District Medical Consultant.
4. Dr. John Doe’s summary of care involving patient Jane X. Smith.
7. Certified copy of patient Jane X. Smith’s medical records from EMT Services.
8. A CD digital recording of Dr. John Doe’s interview conducted on 5-28-08.

SUMMARY OF CASE:

Patient Jane X. Smith was a 37 year-old female who underwent an MRI study of her left shoulder at NSDMG under the direction of subject physician Doe on 1-17-07. Patient Smith had previously undergone an MRI study at the same facility on 8-28-06 and at that time
had completed a pre-scan patient evaluation indicating that she was subject to panic episodes and had some level of claustrophobia and anxiety. Based on the clinical history, she was pre-medicated with 7.5 mg. of po Valium, prescribed by an attending radiologist for purposes of light sedation for the MRI study of 8-28-06. That study performed on 4-13-06 of the lumbar spine was completed with the patient’s anxiety level measured as a 2/10 during the study.

The patient returned to the same facility on 1-17-07 for an MRI of the shoulder and she again completed a pre-scan evaluation indicating her history of some claustrophobia and anxiety. The patient was noted to be 5 ft 6 in tall and weighed 150 lbs and she otherwise had an unremarkable past medical history except for current shoulder pain and previous low back pain. She was on no maintenance medications and did not routinely use benzodiazepines.

Because of the claustrophobia history the clinic nurse presented the pre-scan patient evaluation to subject physician Doe who was the attending radiologist at the NSDMG facility that day. Although the patient had been previously seen at that same facility there was no indication made on the pre-scan patient evaluation or history sheet of this patient having a previous MRI performed at the facility.

Dr. Doe, in his recorded physician interview on 5-28-08, confirmed he prescribed an oral dose of 20 mg. of Valium for purposes of sedation during the MRI study. He acknowledged that he was not aware the patient had been previously seen at the facility or that 7.5 mg. of Valium was previously prescribed and was highly effective for controlling the patient’s anxiety. Dr. Doe confirmed that he did not physically examine or interview patient Smith before reaching a decision to prescribe 20 mg. of Valium.

Following the administration of the 20 mg. of Valium and before the MRI could be completed, patient Smith was removed from the scanner due to acute respiratory depression necessitating the administration of intravenous pharmacological agents including Romazicon, Narcan, D50W along with IV infusion and airway management with oxygen. EMTs were called and the patient was transported to the local community hospital for further care and observation.

MEDICAL ISSUES:

1. Initial evaluation of patient Smith prior to prescribing a benzodiazepine.

♦ Standard of Care:

The standard of care for a radiologist prescribing a premedication to a patient requires that the radiologist review the relevant medical record and then determine the safety of prescribing medication. This includes reviewing patient health history forms, pre-scan patient evaluations, and
past treatment records relevant to the procedure being performed. It is not uncommon for the above to be reviewed without interviewing or seeing the patient.

♦ Analysis:

Dr. Doe did review the patient’s pre-scan evaluation and nurses documented history. He was not aware the patient had a previous MRI at NSDMG and had been medicated with 7.5 mg. of Valium in 2006 with good results. Had Dr. Doe had access to the pre-medication history from the 2006 MRI he stated he would have used the same dosage. Review of the previously MRI report of the lumbar spine failed to indicate that any presedation medication was used. Therefore Dr. Doe relied on the current pre-scan evaluation & nurse’s history and determined that because the patient indicated her level of claustrophobia was a 9/10 he would treat the patient with Valium prior to the MRI study.

♦ Conclusion:

Although Dr. Doe could have been more diligent in trying to determine if the patient had previously been pre-medicated for an MRI this does not reach a level of departure from the standard of care.

2. Use of 20 mg. of Valium for premedication dosing.

♦ Standard of Care:

The utilization of light sedation for purposes of successful MRI scanning is a common occurrence among radiologists on a daily basis and oral Valium is most commonly used with the dosage being predicated on the individual patient’s clinical state, past history and level of anxiety. The dosage of po Valium recommended for adults ranges between 2 to 10 mg. for anxiety. Realizing the inherent limitations of administering light sedation in an outpatient setting, physician determination of a safe but effective dosing is as much an acquired clinical skill as it is a pharmacological science. One of the areas of concern with the use of oral sedatives in the outpatient setting is that there is often limited clinical information available for the physician upon which to base a treatment plan. Overall patient wellness, age, body habitus, and history of previous or recent benzodiazepam usage becomes of increased importance in making an informed decision about proper dose. The rule of thumb in such a matter is to use the most minimal dosage practical to achieve the desired effect of sedation. In this instance, community standard would require the use of somewhere between 2 and no more than 10 mg. of po Valium. In over twenty years of supervising MRI scans I have never prescribed, heard or seen anyone prescribe 20 mg. as a single dose for outpatient sedation.

♦ Analysis:
Dr. Doe did in fact authorize administration of 20 mg po Valium for this patient who had no routine use of benzodiazepines and had previously done well with 7.5 mg. of Valium for a similar procedure in 2006.

♦ Conclusion:

There was a simple departure from the standard of care when Dr. Doe prescribed 20 mg. of Valium which clearly over-sedated the patient and caused significant respiratory depression. Had Dr. Doe been made aware that the patient previously had done well with 7.5 mg. of Valium as a pre-medication for an MRI his prescribing of 20 mg. would have represented an extreme departure from the standard of care.

3. **Level of emergent treatment rendered by Dr. Doe.**

♦ Standard of Care:

The standard of care requires a radiologist to cease an elective diagnostic study if a patient is developing significant change in vital signs or life-threatening symptoms. In the case of respiratory depression, this requires removing the patient from the MRI scanner and providing an airway with oxygen and establishing an IV. In cases of suspected overdose of a benzodiazepine, it requires attempts to reverse that medication, establish an IV and giving other medications if the patient is unresponsive. It also requires activating 911 for EMT transport to a emergency department.

♦ Analysis:

I fully agree with the emergent treatment rendered by Dr. Doe once Ms. Smith developed respiratory distress. He appropriately removed the patient from the MRI scanner, established an oral airway and oxygenated the patient. 911 was activated, an IV was started and appropriate medications to reverse the benzodiazepine over-dose were immediately administered.

♦ Conclusion:

There was no departure from the standard of care in Dr. Doe’s treatment of patient Smith’s respiratory depression.
(Signature) Ray Roenten, M.D.    (Date) 1/5/09
RAY ROENTEN, M.D.
MODEL EXPERT OPINION #5

This opinion is an example of a written report prepared according to guidelines/recommended report format. It is provided for the purpose of reference as to form and expressions only, and in no way, reflects the decisions of the Board. The places, persons, and events are fictional.

Michael B. Murray, M.D., FACP, FCCP
Diplomate, American Board of Internal Medicine
Pulmonary & Critical Care

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Date

Investigator/Medical Consultant (requesting review)
Medical Board of California
Street
City, CA Zip

Re: Jill A. Smith, M.D.
Case #17-2008-000000
Patients: Multiple (3)

Materials Reviewed:

Binder #1:
1. Draft Investigation Report
2. Memoranda of District Medical Consultant
3. Dr. Smith’s C.V., CME
4. Letters (6) written on behalf of Dr. Smith
5. Tape recordings of Dr. Smith’s Interviews
   ➢ February 22, 2006
   ➢ July 21, 2006
6. Taped deposition of Dr. Smith

Binder #2:
7. Copy of the Certified Medical Records on patient Ann Doe.
8. Copy of the additional documentation provided by Dr. Smith in regards to Ann Doe during an interview about this patient on July 21, 2006.
9. Copy of the certified medical record for Patient Abby Milton.
10. Copy of the additional documentation provided by Dr. Smith in regards to Abby Milton
during an interview about this patient on July 21, 2006.

Binder #3


Background Information:

Dr. Smith had Pulmonary and Critical Care privileges at University Hospital up until October of 2005. The Medical Board of California received an 805 Health Care Facility Report from University Hospital on 10-28-2005 restricting her interventional pulmonary and critical care privileges. The report stated that this was “based on multiple concerns regarding Dr. Smith’s case selection and judgment.” Dr. Smith had no prior investigations by the Medical Board or known malpractice cases. She denies any prior hospital inquiry or restriction of her privileges.

PATIENT: ANN DOE

Summary of Case:

Ms. Ann Doe (5' 7", 68.5 kg, BMI = 23.5) is a 62 year-old female who was admitted to University Hospital on 9-17-2004. Her initial complaint was chest pain. She had a history of a skin cancer removal from her cheek two years prior to admission. A chest radiograph in the Emergency Room revealed a left upper lung mass (5.3 cm x 3.4 cm). Cardiac work-up was negative. She was a non-smoker.

Dr. Smith performed a Pulmonary Consultation on Saturday, September 18, 2004. The handwritten assessment is “Pt (patient) with LUL (left upper lobe) mass. Plan: Plan for FOB (fiber optic bronchoscopy) if...illegible... No evidence or constitutional symptoms for infection.” There was no detailed discussion of the malignant possible etiologies of this mass in this non-smoker, or the relative benefits or risks of various approaches to work up the mass, either in the handwritten note, or the dictated consultation.

There is also no indication why this procedure would be performed the following day (Sunday), rather than waiting for the regular bronchoscopy staff day. The work up was not emergent, therefore, if the patient was ready to be discharged from the point of view of the cardiologist and primary care physician, the bronchoscopy could have been done later as an outpatient or as a CT guided biopsy.

An elective bronchoscopy (with endobronchial biopsy and brushing) to elucidate the cause of this lung mass was performed by Dr. Smith on September 19, 2004 (Sunday). During the procedure, a 5 cm section of the cotton swab apparently broke off in her nares, and was subsequently swallowed by the patient. This broken wooden Q-tip required endoscopic (EGD) removal later that day (~1600). An addendum to the handwritten bronchoscopy note states that the patient swallowed a Q-tip. There were otherwise no other complications from the bronchoscopy and the patient was discharged Monday, September 20, 2004. The bronchoscopic dictation by Dr. Smith
Respiratory cultures revealed a normal upper-airway bacterial flora and were negative from fungi, Legionella, viral, or AFB (tuberculosis) organisms. The pathologic reports from the bronchoscopy (washings and endobronchial biopsy, and brush) were non diagnostic, i.e. no malignant cells were identified.

During Dr. Smith’s taped interview, she stated that the patient eventually was diagnosed with metastatic melanoma from her prior face lesion, however, this is not noted in the written documentation given to me to review. The subsequent diagnostic work up of the patient is not included in the records provided.

**Medical Issues:**

1. **Medical record documentation.**

   ♦ **Standard of Care:**

   The standard of medical practice in California is to keep timely, accurate, and legible medical records.

   ♦ **Analysis:**

   The handwritten consultation (9-18-2004), including the assessment and plan is very difficult to read due to handwriting illegibility. The consultation was not dictated for one month after the incident (10-18-2004 at 2020 hours), therefore, it was not available to the other providers taking care of this patient. The bronchoscopic procedure note was also not dictated until one month after the procedure and the handwritten bronchoscopic note is very difficult to read (10-18-2004 at 2023 hours). The necessity for legible and timely documentation of the bronchoscopic procedure is even more important in this case since a complication occurred (retained Q-tip) during the procedure requiring another procedure (EGD) to retrieve it. It is not clear from the case why the dictations were performed almost one month after the patient care was provided. The dictation system was clearly working as Dr. Smith was able to dictate his procedure note that same day (9-19-2004 at 1606 hours).

   ♦ **Conclusion:**

   There was a simple departure from the standard of care for failure to provide timely and legible documentation.
2. Were most appropriate strategies to work up this patient’s chest mass considered in the pulmonary consult?

♦ Standard of Care:

The standard of medical practice in California is to identify the optimal test to obtain a diagnosis in the patient (i.e., the test that is the one most likely to obtain a diagnosis, while resulting in the least likelihood of potential harm to the patient). This may include a common pulmonary procedure, like bronchoscopy, but it also may include a procedure performed by other physicians, for example a CT guided percutaneous biopsy performed by the radiology department. This diagnostic evaluation should then lead to specific therapy.

♦ Analysis:

The bronchoscopy performed had a high likelihood of being non-diagnostic (as it was), since the greatest probability in this patient was a malignancy from some other site in the body, with metastasis to the lungs. This case would have been better approached by CT guided biopsy. Bronchoscopy was a more appropriate test, only if the patient had a long history of smoking increasing the probability that this was bronchogenic carcinoma. This type of peripheral solitary pulmonary nodule (no adenopathy, no pleural effusion) observed in this case is not well suited to bronchoscopy. There was no documentation of a discussion with the patient regarding other alternatives that might have been of higher diagnostic yield (including CT guided biopsy). During the interview the subject physician said she did not consider any other tests.

♦ Conclusion:

There was a lack of knowledge for failure to document and consider more appropriate strategies for diagnostic work-up of this patient’s chest mass.

3. Performing a bronchoscopy procedure on a Sunday

♦ Standard of Care:

The standard of medical practice in California is to perform non-urgent or non-emergent procedures in the optimal setting for the patient. This includes minimizing the risk of a complication, maximizing safety, minimizing the risk of an additional procedure, and using the optimal staff to perform a procedure.

♦ Analysis:

This bronchoscopic procedure had very few indications, and certainly was not urgent or emergently required. There was no indication for this procedure to be done emergently on
a Sunday with staffing that likely was sub-optimal for the procedure. The staffing of hospitals on a Sunday is always reduced compared to a regular business day, and the staff may have been pulled between other duties. There was no documentation of a discussion with the patient of performing this procedure, or a CT guided biopsy as an outpatient. Proceeding with a routine bronchoscopy on a Sunday could have increased the likelihood of complications. The patient also required an additional procedure (EGD), additional sedation, additional risk, and additional monitoring to remove a foreign body, and did not leave the hospital until the following morning (Monday, 9-20-2004).

♦ Conclusion:

There was a simple departure from the standard of care in proceeding to perform a non-urgent bronchoscopy on a Sunday, exposing the patient to potential greater risk.

PATIENT: ABBY MILTON

Summary of Case:

Ms. Abby Milton was a 35 year-old female (5' 8", 68.9 kg, BMI =23) who was admitted to University Hospital on 2-19-2005 for new-onset diabetes and hyperglycemia. She had no history of diabetes and was on no therapy to lower her blood sugar. Her blood sugar upon presentation was very high, 1172 mg/dl, the Sodium was 135, the osmolarity was 342, the bicarbonate was 31, the anion gap was 21 (electrolytes as of 2020 hours on 2-19-2005). She was given normal saline (approximately 2 liters) in the Emergency Department as well as insulin, 5 units IV push and a 5 unit/hour drip of regular insulin. Dr. Smith was called as the admitting physician by the Emergency Room Physician who comments on her blood sugar response to insulin, stating that “…we did recheck blood sugar an hour or two later and it was in the high 400 range. It was clear she was responding rather quickly...”

Dr. Smith saw the patient and wrote her handwritten admission note with a date of 2-19-2005 (no time). The admission laboratories are not filled in on her note. There is a recommendation to give additional insulin IV in her dictated note, and to continue with 6 units of insulin per hour, even though her blood sugar was already down from 1172 to ~ 400 in just 4 hours, an average drop of ~ 200 mg/dl/hour. The beta-HCG was negative.

Admitting orders that were written at 01:00 am on 2-20-2005, are very confusing. Dr. Smith wrote “Insulin Drip CT Surgery Protocol” in her admission orders (item #3) and then “(continue) Insulin Drip protocol aggressive protocol” as item #11 of the same order set, dated and timed at the same time. The “Intensive Insulin Infusion Protocol” was signed by Dr. Smith at 0100 hours on 2-20-2005. At this time, an additional set of blood chemistries had returned, approximately 4 hours after presentation (0045 hours on 2-20-2005), and the patient’s glucose was 398. The anion gap had resolved. The drop in blood sugar was ~ 200 mg/dl/hour over that period. An order clarification at 0200 hours on 2-20-2005 states “Follow CT Surgery Insulin Protocol.” Nursing states that they
advised Dr. Smith that the protocol was not designated for diabetic ketoacidosis because the blood sugar would fall too quickly. Further blood sugars throughout the night and following day of 2-21-2005 were 206 (03:25 am), 209 (11:15 am), 207 (1815 hours or 6:15 pm), and 168 (05:18 am on 2-22-2005). Potassium fell to as low as 2.8 mmol/L, magnesium fell as low as 0.9 mg/dl, and phosphate apparently wasn’t measured. No episodes of a blood sugar less than 100 mg/dl were recorded. The patient’s insulin drip was discontinued the following morning, and she was placed upon a subcutaneous regiment of insulin (70/30), and discharged after Diabetes Education on 2-22-2005. The dictated discharge summary was performed on 2-22-2005 at 1548 hours.

Dr. Smith noted in her second interview with the Medical Board on 7-21-2006 that she was more familiar with the CT Surgery protocol as she had worked on it for the hospital. She did not appear to understand the issue of the rapidity of the blood sugar fall over such a short period of time. She seemed more focused on getting the blood sugar “normal” even if the rate of fall was very abrupt during her questioning at the Medical Board interview.

Medical Issues:

1. Medical Record Documentation

   ◆ Standard of Care:

   The standard of medical practice in California is to keep timely, accurate, and legible medical records.

   ◆ Analysis:

   The handwritten admission history and physical examination is very difficult to read and does not have critical information, including current electrolyte results and a treatment plan.

   ◆ Conclusion:

   There was a simple departure from the standard of care for failure to provide timely, legible and important written documentation into the medical records.

2. Use of the correct insulin therapy and treatment of DKA

   ◆ Standard of Care:

   The standard of medical practice in California is to diagnose and appropriately treat illnesses in a safe, effective, and thoughtful way and to understand the common complications of treating DKA, including aggressive insulin therapy, and appropriately monitor, and treat electrolyte imbalance and prevent other complications. Moreover, the standard of medical practice in California is to confer and address the concerns of other
health care providers when patient care issues arise, like use of the correct insulin order set and over aggressive correction of the blood sugar.

♦ Analysis:

Failure to utilize the correct insulin therapy for the patient could have resulted in serious complications. The drop in blood sugar was ~ 200 mg/dl/hour over the initial 4 hours of therapy. The recommended fall in blood sugar per hour is about one half that, or approximately 90 to 100 mg/dl/hour. Continuous, low-dose intravenous (IV) insulin infusion is generally felt to be the safest and most effective method of insulin delivery for treating DKA. Low-dose IV insulin infusion is simple, provides more physiological serum levels of insulin, allows gradual correction of hyperglycemia, and reduces the likelihood of sudden hypoglycemia and hypokalemia. The usual dose per drip is 0.1 U/kg/hr, but a lower dose of 0.05 U/kg/hr is enough to prevent gluconeogenesis and results in a slower reduction of blood glucose levels. Once this patient’s blood sugar had fallen rapidly with hydration and higher dose insulin therapy, the dosage should have been cut down to approximately 3 units per hour.

Cerebral edema is the most serious complication of DKA. Its causes are not known, but associated factors include duration and severity of DKA before treatment, over aggressive fluid replacement, use of sodium bicarbonate to treat the acidosis, too aggressive correction of blood sugar levels, and the level of hyperglycemia. Cerebral edema is the most important cause of mortality and long-term morbidity with DKA.

There was a failure to adequately consider and monitor (every 1-2 hours) for important electrolyte complications of intensive insulin therapy, including hypokalemia, hypomagnesia, and hypophosphatemia. Levels of potassium, magnesium and phosphate should have been routinely measured and supplemented. Levels as low as in this patient can increase the risk of cardiac arrhythmia.

There was a lack of familiarity with the various insulin protocols existing in the hospital and failure to consider the well-meaning nursing advice regarding the various insulin protocols and the rapidity of blood sugar correction.

♦ Conclusion:

There was an extreme departure from the standard of care and a demonstrated lack of knowledge in the management of this patient’s DKA, and electrolyte imbalance. There was a lack of knowledge of the hospital’s insulin protocols and the appropriate insulin dosing in this patient and a failure to address concerns raised by nurses regarding the insulin protocol being used.

PATIENT: JACK BROWN
Summary of Case:

Mr. Jack Brown is a 70 year old male (5' 2", 75.4 Kg, BMI = 23.8) with advanced, metastatic lung cancer and peptic ulcer disease/bleeding who was admitted to University Hospital on 10-10-2004. The paramedic report states that “Pt. (Patient) per family has been unable to recognize his family today and has not been answering appropriately. Pt. with mumbled speech and unable to answer questions(s)...Pt. also had one episode of clear emesis earlier.” Mr. Brown had undergone his second cycle of chemotherapy ~ 6 days prior to his admission. He had also received radiation therapy to his hip. He was apparently extremely confused, combative, and uncooperative according to the Emergency Room note. Mr. Brown’s blood pressure was also labile (as low as 50/30 mmHg) and he was tachycardic (~130 bpm). He was given Type O-negative blood and due to his continued altered mental status and unstable clinical state, he was intubated in the Emergency Room. His initial hemoglobin/hematocrit was 4.3 and 13. A right groin femoral line was placed to deliver blood and vasopressor therapy. Octreotide was started, IV Protonix was given for an active GI bleed, and Dr. Smith was contacted to admit the patient to the ICU. NG tube placement was attempted in the Emergency Room, but was unsuccessful. The patient was initially sedated with Propofol in the ED, but this was discontinued in the ICU and Fentanyl and Ativan drips were begun.

Dr. Smith performed a critical care consultation/history and physical on October 10, 2004 at 1740 hours. She wrote orders at 2150 hours. An EGD on 10-10-2004 revealed a Mallory Weiss Tear and severe Duodenitis. Levofed, NeoSynephrine, and Dopamine were used to support the low and labile blood pressure (goal for mean arterial pressure, MAP > 60 mmHg). Octreotide was discontinued.

Mr. Brown was transfused and stabilized. His platelet count remained low ~ 30 K. His mental status remained altered. No head CT scan was obtained until 10-13-2004 (3 days after admission) when the Hematologist/Oncologist consultant suggested it in his note dated 10-12-2004. The CT scan of the head (10-12-2004) did not reveal any evidence of CNS metastasis or bleeding.

There were two bronchoscopies performed by Dr. Smith on this patient. The first was on 10-12-2004 at 1600 hours, the second was 10-15-2004 at 1300 hours. The indication for the first bronchoscopy appears to be thick, copious secretions. Dr. Smith was apparently interested in identifying an organism responsible for the ventilator associated pneumonia (VAP) and right sided infiltrate on the CXR (according to the note dated 10-12-2004), and clearing secretions from that side of the lung. The dictation lists the indication for the procedure as “#1) Respiratory Failure, status post self extubation, #2) Hemodynamic compromise, and #3) Obtundation to protect the airway”. The patient was apparently re-intubated over a bronchoscope. Cultures were sent, although it is unclear if a bronchoscopy wash or BAL was performed from the dictated note. No bronchoscopic findings were dictated in the original procedure note (10-12-2004 at 1711 hours), however, 11 minutes later (10-12-2004 at 1722 hours), Dr. Smith dictated an addendum that lists the findings of “copious amounts of foul-smelling secretions in the right middle lobe and right lower lobe.” There was no mention of the altered mental status, or the possibility of a metastasis.
or intracranial bleed resulting in the increased intracranial pressure, possibly increasing the risk of the bronchoscopic procedure. The bronchoscopic wash culture from 10-12-2004 revealed “Few Pseudomonas, Moderate Alpha Streptococcus and Neisseria species consistent with Normal Respiratory Flora.”

A second bronchoscopy was performed on 10-15-2004 at 1300 hours. The dictation was performed on 10-15-2004 at 1839 hours. The indications listed on the dictated procedure note are “Bilateral worsening infiltrates on chest x-ray. Copious secretions since yesterday. Consent obtained by the family.” BAL and bronchoscopy wash was performed on the right side. The respiratory culture from the bronchoscopy grew Pseudomonas again.

The patient was on Versed (24 mg over 12 hours from 0600 hours to 1800 hours on 10-15-2004), and Fentanyl drips (104 mcg over 12 hours from 0600 hours to 1800 hours on 10-15-2004) for sedation. Mr. Brown continued on Neosynephrine and Levophed drips. During the bronchoscopy procedure on 10-15-2004, Dr. Smith ordered 10 mg of Versed at 1310 hours and 10 more mg of Versed at 1335 hours. The patient was given 50 mcg of Fentanyl at 1300 hours. The dictated procedure note only lists 6 mg of Versed and 30 mcg of Fentanyl for sedation. The nursing documentation also states “Due to large amounts of Versed given, nurse wished to confirm meds given. MD (Dr. Smith) refused to write out order.” Nursing and medication sheets indicate that more than 6 mg of Versed and more than 30 mcg of Fentanyl were given during the bronchoscopy. The patient developed tachycardia (HR 135), PVCs, and then elevated systolic blood pressure (Systolic BP ~ 180 mmHg) during/after the procedure.

Dr. Smith attempted three arterial lines (R Radial, L Femoral, R Femoral). On the dictated note (10-13-2004 at 1501 hours), the indication for “...A (arterial) line is hypotension, requiring Levophed, lost other arterial line, and needing serial ABGs.” All three sites had pulses identified prior to attempting the arterial lines according to the dictation. All three sites attempted were unsuccessful by Dr. Smith on 10-13-2004. According to the handwritten and dictated note the femoral sites were aborted due to “Bilateral artery stenosis secondary to possible radiation therapy.” A successful left femoral arterial line was placed by another physician on the same day at 1600 hours. The Medical Board interview on 4-6-2006 stated that the proctor was not at bedside during these procedures.

There were also significant behavioral issues raised by the peer review from University Hospital on this case. Specifically, that Dr. Smith was inappropriate with staff, patients and family members, and displayed unethical and dishonest behavior. The family requested to have a different physician than Dr. Smith as of 10-15-2004. The stated reasons were “lack of communication, questioned judgment.” They stated that she was “madly ordering tests and thinking out loud.” Further, they felt she was abrupt and always in a hurry, thus not addressing their concerns and questions. Dr. X covered the patient over the weekend of 10-16-2004 to 10-18-2004 as a “second opinion”, and Dr. X was the new physician in charge as of 10-18-2004. According to the peer review documentation, on 10-18-2004, Dr. Smith angrily confronted the family and wanted to know why they wanted her removed from the case. It also stated that Dr. Smith told the family that the “problems were caused by the inexperience of ICU nurses.” During her interview with the
Medical Board on 2-22-2006, Dr. Smith stated that she had not been argumentative with the family. The family simply stated that “it was not a popularity contest and they wanted a second opinion.” Dr. Smith arranged for a second opinion with Dr. X, and eventually the care was transferred to Dr. X. Mrs. Brown wrote a letter to University Hospital (received by the medical staff office on October 27, 2004) expressing her dismay with Dr. Smith’s performance in the care of her husband, her dismay that Dr. Smith is being “assigned to critically ill patients,” and requesting that Dr. Smith’s “place at University (be) reviewed.”, i.e. her role in the ER panel.

The patient was eventually stabilized and extubated, his mental status improved, and he was discharged on 10-30-2004. Mr. Brown was apparently going to move with his family to Dallas for follow-up care.

Medical Issues:

1. Medical Record Documentation

   ◆ Standard of Care:

   The standard of medical practice in California is to keep timely, accurate, and legible medical records.

   The standard of medical practice in California for a Critical Care Physician is to identify, comment upon, and appropriately manage all aspects of critical care illness.

   ◆ Analysis:

   There was a failure to provide timely, legible, and accurate documentation. The handwritten consultation admission note to the ICU is incomplete (platelet count not filled in) and very disorganized. The note fails to document and address several important features of this patient’s presentation, including his altered mental status and severe thrombocytopenia (11K). The handwritten assessment and plan is very difficult to read due to handwriting illegibility and is poorly organized and incomplete. The dictated note was performed in a timely fashion (10-10-2004 at 1821 hours), but it is poorly organized and also fails to address important problems including thrombocytopenia and altered mental status and has an inadequate neurological assessment.

   ◆ Conclusion:

   There was an extreme departure from the standard of care in failure to maintain adequate records with failure to provide legible and organized assessment and treatment plans, including daily progress notes (e.g. 10-15-04) and failure to note the marked thrombocytopenia with an altered mental state.

2. Indication for bronchoscopies
♦ **Standard of Care:**

The standard of medical practice in California is to perform only clinical indicated procedures such as a bronchoscopy when the patient is stable enough to perform the intervention, and when the procedure will not contribute to additional morbidity and mortality. The standard of medical practice in California is to understand the complications of sedation and to utilize the minimum amounts required to perform the procedure and to accurately order and record the quantity of sedative medication administered.

♦ **Analysis:**

The bronchoscopic procedures performed in this patient appeared to have minimal indications, despite being high risk, i.e. performed in a very ill patient with altered mental status who was requiring an enormous amount of sedation.

Dr. Smith apparently refused to provide a written order for the verbal orders she gave for use of 10 mg Versed x 2 on 10-15-04. The quantity of Versed given to this patient was excessive, given the patient had a Versed drip in place.

♦ **Conclusion:**

There were two simple departures from the standard of care in performing two bronchoscopies without clear cut clinical indication and simple departure from the standard of care for excessive prescribing of Versed during a bronchoscopy on 10-15-04.

3. **Placement of arterial line**

♦ **Standard of care:**

The standard of medical practice in California is to have the appropriate procedural skills to perform the indicated procedure such as placement of an arterial line, or to consult someone else who does.

♦ **Analysis:**

There was a failure to obtain assistance with the arterial lines in a timely fashion, despite attempting placement in three different locations. Dr. Smith appears to have great difficulty with arterial line placement. Indeed, she dictated that the patient had “Bilateral artery stenosis secondary to possible radiation therapy” despite the fact that she was able to palpate pulses at each site prior to starting the procedures and another operator was able to place a left femoral arterial line later that same day without difficulty.

♦ **Conclusion:**


There was demonstrated lack of knowledge in attempting to place an arterial line.

4. Dr. Smith’s response to the patient’s family and hospital staff

♦ Standard of Care:

The standard of medical practice in California is to be considerate, reassuring, and comforting with the patient’s family. The physician should communicate regularly and effectively regarding the constantly changing clinical status of a patient in the Intensive Care Unit.

The standard of medical practice in California is to confer and address the concerns of other health care providers, including nursing staff when patient care issues, like over sedation and an unstable state are raised.

♦ Analysis:

It is alleged by University Hospital staff that Dr. Smith was confrontational with the patient’s family and nursing staff especially when her judgment was called into question. This resulted in both verbal and written complaints from the patient’s family.

♦ Conclusion:

If the allegations made by the patient’s family and hospital staff are true, this would represent a simple departure from the standard of care, for failure to effectively communicate with the patient’s family to allow them to change physicians, and for failure to effectively communicate with hospital nursing staff so as not to impair the quality of care provided.

(Signature) Michael Murray, M.D.   (Date) 1/2/13
Michael Murray, M.D., FACP, FCCP
MODEL EXPERT OPINION #6

This opinion is an example of a written report prepared according to guidelines/recommended report format. It is provided for the purpose of reference as to form and expressions only, and in no way, reflects the decisions of the Board. The places, persons, and events are fictional.

Carol B. Nerves, M.D.
Diplomate, American Board of Pain Medicine

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Glendale, CA 91206
Tel. (818) 551-0000; Fax (818) 551-0001

Date

Investigator/Medical Consultant (requesting review)
Medical Board of California
Street
City, CA Zip

Re: Ada B. Smith, M.D.
Case: 10-2008-XXXXXX
Patient:

MATERIALS REVIEWED:

1. Senior Investigator’s report.
2. Memorandum dated 4-1-08 from District Medical Consultant.
4. Anonymous source complaint dated 12-30-06 and subsequently identified as R. Roberts, the office manager for subject physician Smith.
5. Medical records on Glen Iris from the office of Dr. Smith.
6. Medical records on Bob Cone from the office of Dr. Smith.
7. Medical records on Lilly Kamp from the office of Dr. Smith.
8. Curriculum vitae from Dr. Smith.
9. Two audio cassette tapes from the physician interview of Dr. Smith by the District Medical Consultant and Senior Investigator on 1-5-08.
10. Business & Professions Code Section 2190.5
11. Business & Professions Code Section 2241.5
12. Health & Safety Code Section 11159.2
13. Health & Safety Code Section 124961 (Pain Patient’s Bill of Rights)

SUMMARY OF CASES:

The Medical Board of California received a letter dated 12-30-06 from an anonymous source who turned out to be the office manager for Dr. Smith. It was alleged Dr. Smith was negligent in treatment of many patients coming into her office on a monthly basis for triplicate medications and that no routine assessments or treatment plans were ever established for pain management or diagnostic testing. It was further alleged that pharmacies frequently phoned the office expressing concerns over the excessive amounts of opiate medications being prescribed by Dr. Smith to various patients. A CURES printout was obtained revealing large quantities of narcotic and other scheduled substances being prescribed over a period of years to a number of patients. Three of those patients’ medical records were secured for further review with a subsequent physician interview of Dr. Smith regarding care rendered to those patients.

Patient #1: Glen Iris

♦ Summary of Case:

Patient Iris was first seen on 1-3-03 and last seen on 11-8-07. There are over 50 office visits and a total of 24 pages in the certified copy of records. The patient routinely received prescriptions for 5 mg. Percocet starting at 200 tablets a month and then increasing to 400 tablets a month in June of 2003 and then to 600 tablets a month by July of 2006. The patient was being treated for cervical spine disease. Review of the medical records reveals at a typical visit there was one and sometimes two lines of a brief handwritten note. No physical examinations are recorded in the chart record except for the initial history and physical. No informed consents are found in the chart record. No treatment plans are noted. There is mention of a referral to a pain clinic but that never occurred according to the physician interview. There was reference to obtaining a diagnostic study of the C spine but there is no documentation in the medical records of any x-rays, CT or MRI scan of the cervical spine being obtained. The physician interview confirms that no diagnostic studies were performed.

♦ Medical Issue:

1. Did Dr. Smith comply with the standard of care for prescribing controlled substances to patient Glen Iris who had chronic cervical neck pain?
Standard of Care:

The Medical Board of California Action Report in October of 2003 provided guidelines for prescribing controlled substances for chronic pain conditions. Those guidelines are fully consistent with the standard of care in the community as outlined below:

- Medical History and Physical Examination

The standard of care requires a medical history and physical exam which includes an assessment of the patient’s pain, including physical and psychological status and function; substance abuse history; history of prior pain treatments and assessment of any other underlying or co-existing conditions. Finally, it should include documentation of recognized medical indications for the use of controlled substances such as opiates for pain control.

Analysis:

A history and physical was documented and although it fails to mention the previous substance abuse history it is otherwise thorough and complete and details prior pain treatment and management of co-morbid conditions.

Conclusion:

There was no departure from the standard of care in performing an initial history and physical examination although it would have been of value to note the past history of substance abuse in that medical record.

- Treatment Plan and Objectives

The standard of care requires the medical records contain stated objectives that may include relief of pain or improved physical or psychological function or ability to perform certain tasks or activities of daily living. This should also include any plans for further diagnostic evaluations and treatments, such as rehabilitation program.
Analysis:

Dr. Smith failed to repeatedly record a treatment plan or describe in subsequent notes the objectives of treatment over a period of five years.

Conclusion:

There were repeated simple departures from the standard of care in Dr. Smith’s failure to develop and record a treatment plan or to ever pursue any further diagnostic evaluations or treatment for this patient such as rehab. Attempts to obtain previous treatments records or any previous diagnostic studies are not demonstrated.

⇒ Informed Consent

The standard of care requires the medical records document that the physician discussed risks and benefits of the use of controlled substances along with other treatment modalities. An actual written consent is not required but is recommended.

Analysis:

Dr. Smith alleges that in fact he did discuss with patient Iris the risks and benefits of use of opiate medications. However, there are no written consent forms in the chart record.

Conclusion:

There was no departure from the standard of care for failure to obtain an informed consent on a written basis since this is neither required by the Medical Board guidelines for prescribing controlled substances and the standard of care in the community varies with most obtaining written consent forms but some only obtaining verbal consent. It would have been of extreme value for Dr. Smith to have recorded the verbal discussions as documentation in the medical record.

⇒ Periodic Preview

The standard of care requires the medical records reflect that the physician is periodically
reviewing the course of pain treatment for the patient and making appropriate modifications in treatment based on the patient’s progress or lack of progress.

- **Analysis:**

  Review of the 26 pages of medical records on patient Iris fails to demonstrate that Dr. Smith ever performed a periodic review on the patient’s pain treatment despite the fact that the amount of Percocet dosing doubled and doubled again over five years.

- **Conclusion:**

  There were multiple simple departures from the standard of care over a number of years for failure to perform periodic reviews of the patient’s pain, treatment and status, especially in the face of doubling and further substantially increasing Percocet dosing.

⇒ **Consultation**

The standard of care requires the physician consider obtaining additional evaluations and consultations, especially with complex pain problems. Special attention should be given to patients who are at risk for misusing their medications or have a history of drug addiction/substance abuse. The above patients require extra care and monitoring along with documentation and consultation with an addiction medicine specialist and pain management specialist.

- **Analysis:**

  Although Dr. Smith alleges that she attempted to get a pain management consultation one never occurred. Dr. Smith claims that this was due to the patient’s lack of compliance and that she urged the patient to seek out pain consultation. Medical records and the physician interview documented at least two attempts to obtain consultation.
Conclusion:

There was no departure from the standard of care for failure to obtain a consultation in this patient since there is a notation in the medical record on two occasions that such attempts were made.

Maintenance of Medical Records

The standard of care requires the physician must maintain accurate and complete records, demonstrating a history and exam along with evaluations and consultations, treatment plans and objectives, informed consent, medications prescribed and periodic review documentation.

Analysis:

The medical records for visits are typically one or two lines in length and are fundamentally illegible and primarily record a renewed prescription for Percocet with the doctor’s initials.

Conclusion:

There were multiple simple departures from the standard of care in the maintenance of medical records which are nearly illegible and quite cursory and failed to document standard guidelines in the use of controlled substances for patients with chronic pain conditions.

Overall Conclusion:

Taken all together the management of patient Glen Iris’s chronic pain conditions with opiate medications represents an extreme departure from the standard of care as outlined above.

Patient #2: Bob Cone

Summary of Case:

This was a 52 year-old male first seen on 4-16-02 and last seen on 5-13-08. There are a total of 34 clinic visits in that time frame. The patient was essentially seen for low back pain radiating into the legs, with a past history of a lumbar laminectomy. On the initial history and physical by Dr. Smith she concluded that the patient might have arachnoiditis and she began prescribing four tablets of Tylenol #4 a day. The patient then requested Doridan with Tylenol #4 which was prescribed.
Smith also maintained dosing of Tylenol #4 along with prescriptions for 4 mg Dilaudid at 4-5 tablets a day. In addition, 10 mg Valium was prescribed to the patient at 100 tablets a month. By 2004 the patient was on 300 tablets of 10 mg Methadone a day along with Tylenol #4’s, the Valium and some Dilaudid. There is no evidence that any diagnostic studies or referrals for consultation were made for this patient. The patient had a history of heroin addiction.

♦ Medical Issue:

1. Did Dr. Smith comply with the standard of care for prescribing controlled substances to patient Bob Cone?

■ Standard of Care:

The Medical Board of California Action Report in October of 2003 provided guidelines for prescribing controlled substances for chronic pain conditions. Those guidelines are fully consistent with the standard of care in the community as outlined below:

⇒ Medical History and Physical Examination

The standard of care requires a medical history and physical exam which includes an assessment of the patient’s pain, including physical and psychological status and function; substance abuse history; history of prior pain treatments and assessment of any other underlying or co-existing conditions. Finally, it should include documentation of recognized medical indications for the use of controlled substances, such as opiates for pain control.

■ Analysis:

Dr. Smith did record a history and physical examination with a past history of substance abuse noted for this patient. There was a limited assessment of other underlying and co-existing conditions and no reference to prior treatments or treating physicians.

■ Conclusion:

There was a simple departure from the standard of care for failing to fully document a comprehensive history and physical examination which should have included previous treatments and treating physicians and details regarding co-existing conditions including the history of heroin addiction and past management.
⇒ **Treatment plan and Objectives**

The standard of care requires the medical record contain stated objectives that may include relief of pain or improved physical or psychological function or abilities to perform certain tasks or activities of daily living. This should also include plans for further diagnostic evaluations and treatments.

- **Analysis:**

  Nowhere in review of the six years of medical records was a treatment plan ever outlined or objectives stated. Dr. Smith stated in the physician interview that he was just helping the patient live day by day.

- **Conclusion:**

  There were repeated simple departures from the standard of care for failure to document a treatment plan or objectives of treatment, over a period of greater than six years.

⇒ **Informed consent**

The standard of care requires the medical records document that the physician discussed risks and benefits of the use of controlled substances along with other treatment modalities. An actual written consent is not required but is recommended. However, in a patient with a past history of opiate addiction it is incumbent of the physician to document and/or record consent discussions including risks and benefits of opioid treatment.

- **Analysis:**

  Dr. Smith alleges that he gave verbal consent to this patient and all of his patients. Dr. Smith acknowledged that he never had any written contracts or written consents placed in the chart records.

- **Conclusion:**

  In this instance there was a simple departure from the standard of care when Dr. Smith failed to document into the chart record that he had verbal discussions with this patient regarding the chronic use of opiates. This was of particular importance because this patient was a known addict and the potential for misuse and abuse of opiates was high.
⇒ Period Review

The standard of care requires the medical record reflect the physician is periodically reviewing the course of pain treatment for the patient and making appropriate modifications of treatment based on the patient’s progress or lack of progress.

■ Analysis:

Over more than six years Dr. Smith never recorded that he performed any periodic review, nor is there any evidence of assessment regarding the patient’s progress towards improvement or resolution of pain. Dr. Smith acknowledged that he was simply trying to have the patient get by on a day by day basis and the patient reported that he was doing well with treatment.

■ Conclusion:

There are repeated simple departures from the standard of care for failure to record progress or lack of progress in treatment of this patient’s chronic pain condition.

⇒ Consultation

The standard of care requires the physician consider obtaining additional evaluations and consultations, especially with complex pain problems. Special attention should be given to patients who are at risk for misusing their medications or having a history of drug addiction/substance abuse. The above patients require extra care in monitoring along with documentation and consultation with an addiction medicine specialist and pain management specialist.

■ Analysis:

When patient Cone came into the office asking for Doridan with Tylenol #4 (known on the street as doors and fours) it was highly suggestive that this was a drug seeking abusing behavior since the medication is known to reproduce sensations of IV heroin use among addicts. Given that this patient was a self-admitted addict it was incumbent upon Dr. Smith to seek out consultations with a pain management specialist and an addiction medicine specialist. There is no evidence that any attempt was made to do so for this patient who clearly needed a very rigid system of care along with routine drug screening. This patient most likely would have benefitted from being placed on long term maintenance Methadone rather than use of various short term
opiates prescribed for him.

- **Conclusion:**

There were repeated simple departures from the standard of care on the part of Dr. Smith in failure to provide consultations to an addictionologist and chronic pain management specialist to assist in the management of this patient.

⇒ **Maintenance of Medical Records**

The standard of care requires the physician must maintain accurate and complete records demonstrating a history and exam along with evaluations and consultations, treatment plans and objectives, informed consent, medications prescribed and periodic review documentation.

- **Analysis:**

The medical records maintained for this patient were clearly substandard. The records were mostly illegible and it was necessary that the pages be retyped from the illegible handwritten notes for my review. If another physician needed to suddenly take over the care of this patient the medical records that were written were of zero utility in this very complex patient case.

- **Conclusion:**

Dr. Smith’s medical records on patient Cone clearly demonstrates her failure to exercise want of even scant care and represents an extreme departure from the standard of care.

♦ **Overall Conclusion:**

The overall management of this patient’s chronic pain condition with opiate medications clearly failed to follow the guidelines set forth by the Medical Board of California in October of 2003 and are also each in the standard of care at least since October 2003. Dr. Smith failed to follow the standards of practice for treatment of a self-admitted addict with chronic pain and inappropriately treated with short-acting opiate medications and failed to assess the patient’s response to treatment. Taken all together Dr. Smith’s management of this patient represents an extreme departure from the standard of care.
Patient #3: Lilly Kamp

◆ Summary of Case:

Patient Kamp was a 32 year-old female who suffered from a personality disorder and profound somatization disorder. The patient also suffered from diagnoses of bipolar disorder and anxiety disorders. She was diagnosed with chronic fibromyalgia syndrome and taking long-term Vicodin and Valium for that condition. Dr. Smith first saw the patient on 8-11-03 with a final visit on 9-27-08. There are 18 entries in the clinic record. The record reveals that periodically the patient was homeless and there were intermittent exacerbations of her psychiatric conditions leading to a few hospital admissions by other treating physicians. The patient was primarily maintained on Oxycontin and Fentanyl. There are over 12 occasions where the patient allegedly either threw out her medication, had it stolen, it was lost, or fell into a sink or a toilet. The dosing of Oxycontin and the Fentanyl patch increased every few years for reasons that are not clear from the minimal recordings and the patient’s progress notes.

◆ Medical Issue:

1. Did Dr. Smith comply with the standard of care for prescribing controlled substances to patient Lilly Kamp?

■ Standard of Care:

The Medical Board of California Action Report in October of 2003 provided guidelines for prescribing controlled substances for chronic pain conditions. Those guidelines are fully consistent with the standard of care in the community as outlined below:

⇒ Medical History and Physical Examination

The standard of care requires a medical history and physical exam which includes an assessment of the patient’s pain, including physical and psychological status and function; substance abuse history; history of prior pain treatments and assessment of any other underlying and co-existing conditions. Finally, it should include documentation of recognized medical indications for the use of controlled substances such as opiates for pain control.

■ Analysis:
Although Dr. Smith performed a history and physical on this patient, she failed to note the previous psychiatric history and did not attempt to request previous treatment records. The indications for the use of opiates and management of fibromyalgia are not noted nor are previous treatments that were given to the patient recorded.

■ Conclusion:

There was a simple departure from the standard of care when Dr. Smith failed to perform an adequate history and physical examination which excluded pertinent portions of the patient’s mental health history, previous treatments and diagnostic workups.

⇒ Treatment Plan and Objectives

The standard of care requires the medical records contain stated objectives that may include relief of pain or improved physical or psychological function and ability to perform certain tasks or activities of daily living. This should also include any plans for further diagnostic evaluations and treatments, such as a rehabilitation program.

■ Analysis:

Although this patient was diagnosed with fibromyalgia there was never any objective documentation regarding the diagnosis or objectives for treatment. There is no mention in the chart record of other treatments that had previously been tried or were being planned. There was no reference to physical therapy, exercise programs or other medical treatment options. There is no documentation if opiate medications were clearly benefitting the patient’s fibromyalgia/chronic pain complaints.

■ Conclusion:

Given that patients with chronic fibromyalgia do not clearly benefit from chronic opiate use, the ongoing prescribing of opiates without setting objectives or a treatment plan represents an extreme departure from the standard of care.

⇒ Informed Consent

The standard of care requires the medical record should document that the physician discussed risks and benefits of the use of controlled substances along with other treatment modalities. An
actual written consent is not required but is recommended.

■ **Analysis:**

Dr. Smith alleges that he did provide a verbal consent to the patient, although there is no documentation in the medical record to substantiate that consent.

■ **Conclusion:**

There was a simple departure from the standard of care when Dr. Smith failed to record anywhere in the medical record that he had verbal discussions with the patient regarding the use of long term opiates. This was of critical importance in a patient who clearly suffered from multiple psychological/mental health conditions and had behaviors suggestive of addictive behaviors (more than a dozen occasions where medication was lost, stolen or inaccessible).

⇒ **Periodic Review**

The standard of care requires the medical record reflect that the physician is periodically reviewing the course of pain treatment for the patient and making appropriate modifications in treatment based on the patient’s progress or lack of progress.

■ **Analysis:**

Review of the medical records fails to demonstrate that Dr. Smith performed periodic assessments of this patient’s fibromyalgia. There is no evidence that modification to the plan was based on the patient’s progress or lack of progress. Dr. Smith acknowledged in the physician interview that there were many occasions when she simply renewed prescriptions for the patient over a period of years without any history or exam being obtained.

■ **Conclusion:**

There was an extreme departure from the standard of care when Dr. Smith, over a period of five years failed to do periodic reassessments of the patient’s fibromyalgia and chronic pain condition and failed to take written histories and physical examinations and to consider ongoing treatment and plans.

⇒ **Consultation**
The standard of care requires the physician consider obtaining additional evaluations and consultations, especially with complex pain problems. Special attention should be given to patients who are at risk for misusing the medications or have a history of drug addiction/substance abuse, or co-morbid serious mental health conditions. Such patients require extra care and monitoring along with documentation and consultation with an addiction medicine specialist, psychiatrist and/or pain management specialist.

■ Analysis:

There was a failure on Dr. Smith’s part to obtain any pain management specialist consultations or addiction medicine specialist consultations. Dr. Smith never initiated or requested consults with psychiatrists despite the patient’s numerous co-morbid psychiatric conditions. However, the patient was admitted to a psychiatric hospital on at least a few occasions and did have some psychiatric assessment at those times. Nonetheless, there was no coordination of her pain management opiate prescribing with her co-morbid psychiatric conditions.

■ Conclusion:

There were repeated simple departures from the standard of care over a number of years for failure to obtain consultations from psychiatrists, and pain management specialists in this patient case.

⇒ Maintenance of Medical Records

The standard of care requires the physician must maintain accurate and complete records, demonstrating a history and exam along with evaluations and consultations, treatment plans and objectives, informed consent, medications prescribed and periodic review documentation.

■ Analysis:

Medical records maintained on this patient are mostly illegible. Dr. Smith read her notations into the record during her physician interview and this demonstrates that there was a failure to document periodic review, informed consent, treatment plans or objectives or any consultations.

■ Conclusion:

There was an extreme departure from the standard of care in failure to maintain adequate medical records demonstrating want of even scant care.
Overall Conclusion:

Given all of the above, there was an extreme departure from the standard of care on the part of Dr. Smith in the management of this patient’s chronic pain condition (fibromyalgia). The extreme departures persisted over a period of many years without evidence of improvement on the part of Dr. Smith.

(Signature) Carol Nerves, M.D.       (Date) 1/5/09
CAROL B. NERVES, M.D.
COMPENSATION

The Osteopathic Medical Board will provide you with the following forms to submit in order to receive compensation for your expert reviewer services:

- Expert Reviewer’s Statement of Services
- Task Order/Expert Reviewer Checklist Form, this form is necessary to comply with the State’s new contract requirements.
- You must complete a Statement of Services form and Task Order form for each case you review for the Osteopathic Medical Board. Sometimes it is necessary to complete more than one Statement of Services form and Task Order form during the course of a case. Failure to fill out the forms completely will delay your compensation.

Initial Case Review

You will be compensated at the rate of $150.00 per hour for your evaluation and report. Please record the hours worked on each case. When billing fractional time for less than a full hour please calculate the time to the nearest quarter hour. For example, if you work 1 hour and 22 or fewer minutes, the time billed should be 1.25 hours (or 1¼ hours), if you work 1 hour and 23 or more minutes, the time billed should be 1.5 hours (or 1½ hours), and so on through the hour.

The Osteopathic Medical Board keeps its accounts by fiscal year, which is July 1 through June 30. Please do not combine fiscal years on one form. Instead, use a separate form for each fiscal year.

Professional Competency Examination

The reimbursement rate for professional competency examination (oral and written) is set at $150.00 per hour (not to exceed 4 hours or $600.00) for case review and question development, and $150.00 per hour (not to exceed 4 hours or $600.00) for the administration, scoring and any report preparation.

Mental or Physical Examination

The reimbursement for the administration of a mental or physical evaluation is the usual and customary rate for the expert. However, please provide the investigator or medical consultant with an estimate of fees prior to conducting the mental or physical examination. You should not exceed the estimate unless pre-approved by the investigator.
Consultation with the Deputy Attorney General

This includes any consultation, in person or by telephone, before the case is filed, while the action is pending, or in preparation for hearing. You will be compensated at the rate of $150.00 per hour.

Testimony at Hearing

You will be compensated at the rate of $200.00 per hour for testimony, with the maximum fee allowable for a full day of testimony being $1600.00.

Miscellaneous Expenses

Expenses incurred in performing expert review or acting as a witness should be itemized on a separate sheet of paper and summarized on the Statement of Services.

It is imperative that you contact the Board Investigator to arrange for any travel, otherwise, reimbursement will be delayed. Investigator will explain the current state reimbursement rate schedule for other expenses including meals and lodging. Receipts must be attached for all travel and business expenses incurred in this category, other than mileage.

You will be authorized $75.00 per hour for actual drive time to attend a hearing or drive to a location (other than your regular business location) to administer a professional competency examination.

Please arrange all travel through the investigator and/or district office with whom you are working. The Osteopathic Medical Board staff will arrange the necessary flights, ground transportation and research/recommend hotel accommodations.