Working Together to Address Challenging Patient Behaviors and Prevent Involuntary Discharge

Patient Services Staff
HSAG ESRD Networks 7, 13, 15, 17

November 3, 2016
Objectives

- Review the *End Stage Renal Disease (ESRD) Conditions for Coverage* pertaining to involuntary discharge (IVD)
- Increase awareness of risk factors that place patients at risk for IVD
- Identify resources and approaches to manage challenging situations
About End Stage Renal Disease (ESRD) Networks

Centers for Medicare & Medicaid Services (CMS) goals for Networks:

- Increase focus on patient-centered care
- Improve quality and safety of care
- Improve patients’ independence, quality of life, and rehabilitation
- Resolve grievances and improve patient perception and experience of care
- Increase collaboration with providers
- Improve collection, reliability, timeliness, and use of data
ESRD Network Patient Services Staff

Network 7
- Beverly Whittet, RN, CDN, CPHQ
  Patient Services Director
- Melissa Perry, MSW, LCSW
  Patient Services Outreach Coordinator

Network 13
- Jamie Kiburz, MSW
  Patient Services Manager
- Janice Ruffin, MA
  Patient Services Coordinator

Network 15
- Deborah Borman, MSW, LCSW
  Patient Services Director
- Amy Carper, MSW, LCSW, CCM, NSW-C
  Patient Services Manager

Network 17
- Anne Pugh, MSW, LCSW
  Patient Services Manager
- Riquelen Ngumezi, MSW, LCSW
  Patient Services Manager
Network-Facility Collaboration

• Our common goals
  – Delivering high-quality patient care
  – Providing safe environment for patients
  – Promoting increased patient responsibility
  – Improving the patient experience of care

• Our shared responsibilities
  – Providing patient and staff education
  – Resolving patient grievances
  – Finding successful interventions to address challenging patient-provider situations
  – Decreasing involuntary patient discharges
Things To Think About as You Are Listening

• What successful approaches to conflict resolution have you used?
• What can you do differently?
• What practices can you take back to your facility?
Federal Regulations: Involuntary Patient Discharge

*Conditions for Coverage (CfC) for ESRD Facilities*

Department of Health and Human Services (HHS)
Centers for Medicare & Medicaid Services (CMS)
April 2008
CMS Expectations

• “Every dialysis facility [have] the resources and responsibility to work with every patient, including patients perceived to be disruptive or challenging.”

  *Preamble to CfC Proposed Rules, January 2005*

• All patient care technicians receive interpersonal skills training.

• Potential impact of multiple duties/demands on interdisciplinary team members is recognized.
  
  – “If a facility ‘shares’ the social worker or dietitian with multiple clinics or requires professional staff to perform non-clinical tasks, it must not negatively impact the time available to provide the clinical interventions required to achieve the goals identified in the patient’s plan of care.”

  *CfC Interpretive Guidance*
Overview of IVD Process

Process clearly defined:

- Document efforts made to resolve problem/reassess patient in medical record.
- Provide patient with a 30-day advance notice of IVD.*
- Notify ESRD Network of IVD.
- Obtain discharge order signed by patient’s nephrologist and facility medical director.
- Make good faith efforts to transfer patient’s dialysis care.*
- Self-report IVD to the State Survey Agency (SSA).

*If there is an immediate severe threat, an abbreviated IVD procedure shortening the 30-day advance notice requirement can be used.
(f) Standard: Involuntary discharge and transfer policies and procedures. The governing body must ensure that all staff follow the facility’s patient discharge and transfer policies and procedures.
The medical director ensures that no patient is discharged or transferred from the facility unless:

1. The patient or payer no longer reimburses the facility for the ordered services;

2. The facility ceases to operate;

3. The transfer is necessary for the patient's welfare because the facility can no longer meet the patient’s documented medical needs; or
(4) The facility has reassessed the patient and determined that the patient’s behavior is disruptive and abusive to the extent that the delivery of care to the patient or the ability of the facility to operate effectively is seriously impaired, in which case the medical director ensures that the patient’s interdisciplinary team-

(i) Documents the reassessments, ongoing problem(s), and efforts made to resolve the problem(s), and enters this documentation into the patient’s medical record;
(ii) Provides the patient and the local ESRD Network with a 30-day notice of the planned discharge;
(iii) Obtains a written physician’s order that must be signed by both the medical director and the patient’s attending physician concurring with the patient’s discharge or transfer from the facility;
(iv) Contacts another facility, attempts to place the patient there, and documents that effort; and
(v) Notifies the SSA of the involuntary transfer or discharge.

(5) In the case of immediate severe threats to the health and safety of others, the facility may utilize an abbreviated IVD procedure.
Definition of Immediate Severe Threat

- An "immediate severe threat" is considered to be a threat of physical harm.
- An angry verbal outburst or verbal abuse is not considered to be an immediate severe threat.
Response to Immediate Severe Threat

1. Take immediate protective actions
   a. e.g., call 911 for police assistance.

2. After the emergency is addressed, notify the patient’s physician, the facility medical director, the State Survey Agency (SSA) and the ESRD Network.

Note: In these scenarios, there may not be time or opportunity for reassessment, intervention or contact with another facility for possible transfer.
IVD Case Review — Staff Errors Resulting in IVD

• IDT did not address escalating behavior before discharge event.

• IDT ignored, minimized, waited for someone else to address behavior.

• Physician was not involved.
  – He or she believed that the patient’s behavior was a facility operations problem, not a clinical one.

• No attempt was made to obtain results of known mental health evaluation.

• The same unsuccessful interventions were tried with the patient with the expectation of different results.
IDT Documentation Requirements

Documentation must be:

• Timely
• Accurate
• Complete
• Objective
Physician Discharge

If a physician decides to terminate his or her relationship with the patient, it places the patient at risk for IVD from the facility.

In the event of an IVD resulting from a physician discharge, the facility must:

- Provide the patient with a **30-day notice** of involuntary discharge from the facility.
- Assist the patient with obtaining alternate physician coverage.
- Coordinate medical management with medical director, if necessary, to ensure patient has 30 days to find another physician in order to:
  - Stay at the facility.
  - Facilitate transfer to another facility.
Summary of Regulation Review

• It is the facility’s responsibility to address issues that place patients at risk for involuntary discharge.
• Involuntary discharge should be an option of last resort.
• Document, document, document!
• IVD can result in a patient’s:
  – Reduced access to appropriate dialysis when treated through emergency room visits.
  – Losing access to necessary support services.
  – Increased risk for morbidity and mortality.
Case Scenario

• Calvin arrives at his dialysis clinic at 8:30 am for his 10:15 scheduled treatment. He demands to be started early because that is the time he wants to have, and he believes that since he has commercial insurance, he should be able to do whatever he wants.

• The nurse calmly tries to educate the patient on the policy and procedure related to scheduling and offers to schedule a meeting to explore other treatment times that may better fit his schedule.

• Calvin continues to demand to be started and begins cursing very loudly at the nurse and calling her names. The nurse loses control of her emotions and starts yelling at the patient “Calvin, in life we don’t always get what we want, now do we?!” Calvin then threatens the nurse.

• The patient is now at risk for involuntary discharge.
Tracking and Trending of IVDs
Network Tracking and Trending of IVDs

• Analyze trends to identify regional, corporate, local, or provider-specific patterns of concern.
• Collaborate with the SSA.
• Submit IVD data to CMS.
• Identify opportunities for improvement.
• Utilize data to plan Network trainings and provide facilities with feedback.
Addressing Challenging Situations

Risk Factors for Conflict
What Works and Doesn’t Work to Address Conflict
Resources
The Patient/Care Team Responsibilities

Patients

• Learn all they can about their chronic condition(s)
• Make informed decisions about treatment
• Follow the agreed-upon treatment plan
• Make healthy behavior choices

Care Team

• Assess each potential IVD and the circumstances surrounding the incident(s)
• Teach staff and patients about conflict resolution
• Guide patients toward a better understanding of facility rules and regulations
• Collaborate with patients and care staff to find acceptable resolutions to avoid IVD
• Support staff
Case Scenario

• Arnold refuses to speak to most staff, including his nephrologist.
• He often gives the wrong weight to staff or refuses to weigh himself.
• Arnold has fired a nephrologist and is angry with his current doctor who won’t authorize ambulance transport to dialysis.
• He rejects engagement efforts by the IDT and doctor, including yelling at staff and referring to his lawyer.
• The doctor provided Arnold with notice of discharge from his care.
  – Arnold declined assistance that was offered to find another doctor.
Risk Factors for Conflict

• Patient Level
  – Ineffective coping styles and difficulty adjusting to ESRD and treatment
  – Depression and dialysis
  – Lack of support system

• Staff Level
  – Poor communication
  – Lack of professionalism
  – High staff turnover
  – Ineffective facility management
Risk Factors for Conflict (cont.)

• Facility Level
  – Facility policies inconsistently applied, ineffective, or not followed
  – Inflexible treatment scheduling
  – Communal treatment space
    • Lack of privacy, noise, room temperature

• Treatment Level
  – Pain, discomfort
  – Medical errors, near misses
Quality of Life

Quality of life is enhanced by:

- Ability to adapt to multiple, significant lifestyle changes
- Creating a life that is more than ESRD and treatment
- Taking an active role in managing personal health
- Having support from family, friends, others
Emotional Reponses to Dialysis

Individuals experience a range of emotions in response to the stress related to diagnosis and treatment of ESRD:

- Sadness
- Anxiety
- Anger
- Fear
Coping Strategies and Strengths

Coping is affected by:

• Individual strategies and strengths
  – Action-focused problem solving
  – Emotion-focused, managing emotions
  – Active versus avoidant coping strategies

• Underlying mental health or substance abuse disorders
Mental Health and Dialysis

- One study suggests that 44% of dialysis patients will present with depression.
- Untreated mental illness increases risk for IVD.
- Staff and patients should be educated about mental health and chronic illness.
- Providers should be proactive in referring patients for psychiatric evaluation.

Source: Watnick, et al
Screening for Clinical Depression and Follow-Up: ESRD QIP

• Facilities are required to report that they screened eligible patients for depression and developed follow-up plans when appropriate.
  – Reporting in CROWNWeb by February 1, 2017

• For more information:
Case Scenario

• Craig is homeless and has a history of substance abuse.
• He is estranged from his family.
• He argues with staff and is demeaning and verbally abusive toward them.
• Craig told staff that he doesn’t care about the staff or himself anymore, and said he doesn’t care if he never comes back to the clinic.
• He bumped into a nurse on the way out of the clinic and she fell backwards.
• Craig continued to mumble as he was leaving that he didn’t care about any of this anymore.
• Staff want Craig to be discharged.
Staff Level Risk Factors for Conflict

- Insufficient staffing
- High staff turnover
- Inadequately trained staff
  - Professionalism
  - Conflict management
- Unrealistic expectations of patients
Patient/Provider Conflict: What Doesn’t Work

- Avoidance
- Staff arguing with and complaining about the patient
- Ignoring staff behaviors that trigger, escalate, or perpetuate a patient’s behaviors
What Doesn’t Work (cont.)

• Unrealistic expectations of the patient
• Staff powerlessness
  – Lack of knowledge of how or permission to intervene
• Ineffective intervention plans
  – Not individualized to the patient
  – Only known or implemented by one or two staff
  – Inconsistent implementation
Trouble in Paradise

• **Challenging Patient Behaviors**
  – *Disruptive behavior* that negatively impacts the operation of the clinic, environment, and/or the treatment given to other patients
  – *Abusive behavior* that is perceived as dangerous, violent, and/or threatening to the health and safety of anyone in the clinic

• **Challenging Staff Behaviors**
  – Inconsistent professional boundaries
  – Insufficient behavior management skills
  – Lack of team cohesion
Staff Rights vs. Patient Rights

When battle lines are drawn, it:

• Generates a negative and combative attitude.
  – “We shouldn’t have to put up with that behavior.”
  – “The patient has to go or I’ll quit.”

• Creates a bind for clinic managers.
  – They may not have been informed of potential issue by staff early on.
  – The issue may be the result of avoidance.

• Increases risk of a poor outcome for the patient.

• Reduces options for problem resolution.
Case Scenario

• Ms. Carter brings a boom box into the facility and plays music without headphones. The social worker reports the volume of the music affects her ability to have chairside conversations with patients. The clinical staff have concerns about being able to hear machine alarms and their ability to provide safe care to all patients.

• The social worker reports half of the facility patients do not like to hear the music during treatment, and the other half do not mind the music because they have hearing loss. When Ms. Carter is asked to turn down the radio volume, she sometimes complies for a short period of time and other times refuses to adjust the volume.

• The social worker reports this behavior has been going on for at least two years. Social worker reports the staff are becoming more frustrated with the facility management’s lack of response to their concerns, and some staff have discussed referring the facility to the state survey agency.
Formalizing Behavior Expectations

• Behavioral contracts are not appropriate for all patients or all problems

• Objective is behavior change, not involuntary discharge

• Behavior must be
  – Persistent
  – Measureable
  – Changeable
Contract/Agreement Errors

• Behavior management plan is not individualized to the patient
• Dates, context, and specific problem behavior are not included
• IVD is the identified consequence
• No end date for monitoring behavior is identified
• Lack of follow-up with patient re:
  – Progress, or lack of progress, toward patient behavior change
  – Positive reinforcement versus negative reinforcement
• Lack of follow-through or inconsistent follow through with staff behavior change
  – Has negative consequences for the patient
Proactive Strategies To Minimize Conflict
Patient Orientation

- Encourage a facility tour and meeting with members of the IDT prior to the first scheduled dialysis
- Provide ample time for answering questions and completion of initial paperwork
- Ensure patients understand their rights and responsibilities, as well as facility policies
- Introduce new patients to other patients at the dialysis center
Meet the Patients Where They Are

People move through different levels of meeting needs (Maslow’s Hierarchy):

1. Basic living and security needs (Physiological)
2. Social needs and belonging (Safety)
3. Taking on projects (Love/Belonging)
4. Learning (Esteem)
5. Being innovative (Self-actualization)

If a person is challenged to meet basic daily living needs or feel secure, they may have difficulty focusing on learning and problem solving.
“People don't care how much you know, until they know how much you care.”

—Theodore Roosevelt
Customer Service 101

• “Perception is reality.”
  – Engaging in a positive interaction is the goal when you have differing perceptions, rather than focusing on who is right.

• Never underestimate the impact you have on other people.
  – You can, and do, have great influence, which can turn a person’s bad day into a good day, or vice versa.
Sitting Down Versus Standing Over

Taking the time to sit rather than stand when meeting with a patient reaps benefits.

• One study showed that patients perceived up to 40% more time was spent with them when the clinician was sitting rather than standing.

• Patients also reported:
  – Greater satisfaction with their care.
  – Better rapport with clinician.
  – Better understanding of their condition.
Effective Communication

Communicate more effectively by using:

• Active listening
  – “We have two ears and one mouth so that we can listen twice as much as we speak.”
    ~Epictetus

• Teach-back method

• Open-ended questions
Does Your Team Have an Effective Communication System In Place?

• Does your team know how to:
  – Answer patient questions?
  – Address patient concerns?

• All staff must know when, how, and to whom they should report experiences of abusive behavior.
Collaborate with Patients for Assessment

• Engage patients in their care as much as possible.
• Use patient satisfaction survey results to identify areas of improvement.
• Use the KDQOL survey to discuss emotions related to dialysis and goals.
• Use the care planning process to identify possible concerns and discuss with the IDT and patient.
Be Professional and Maintain Boundaries

- Staff professionalism and maintenance of consistent and respectful boundaries:
  - Promote mutual respect.
  - Make patients feel safe while in your care.

- Regular staff training and support improves:
  - Communication and interpersonal skills.
  - Conflict resolution.
  - Sensitivity to patients.
Staff Skill Development

• Build a cohesive treatment team.
• Use internal and external resources for support and guidance.
• Continuing professional education
• Conduct annual staff training for:
  – Interpersonal skills development.
  – Diversity and sensitivity.
  – Professionalism and boundary setting.
Tips for Handling a Difficult Situation

• Stop—Breathe—Think before you speak.
• Maintain perspective and emotional control.
• Stay focused on the issue.
• When there is a negative interaction with a patient:
  – Address it with the patient, as soon as appropriate.
  – Anticipate the need for a “cooling off” period for both the patient and the staff
  – Avoid “ganging up” on the patient.
    ▪ Do not include too many staff in the discussion.
• Contact the Network to brainstorm ways to address the situation.
Debrief Staff

Explore the:

• Reason for conflict.

• Contributing factors and precipitating events that led to the situation.
  – Identify and address staff behaviors that may trigger, escalate, or perpetuate patient behaviors.
  – Ask staff who were involved if they:
    ▪ Show empathy when challenged?
    ▪ Tried to avoid personalizing patient behaviors?
    ▪ Maintained realistic expectations of the patient?
Resources
Dialysis Patient-Provider Conflict (DPC) Toolkit

- CMS-funded initiative to produce conflict training resources specific to dialysis
  - Training manual intended for group training on nine separate modules
  - Interactive CD for self-paced individual training
- DPC resources previously sent to all existing facilities
- DPC resources found on HSAG website at [www.hsag.com/ESRD-IVD](http://www.hsag.com/ESRD-IVD)
Additional Resources

• HSAG ESRD Network websites at www.hsag.com/ESRD
• Conflict Resolution Meeting Tip Sheet
• V-tags and Interpretive Guidance Regarding Patient IVD CMS End Stage Renal Disease (ESRD) Program Interpretive Guidance Interim Final Version 1.1
• Let’s Work Together to Address Challenging Patient Situations and Prevent Involuntary Discharges
• Behavioral Agreement Guidance for Facilities
Involuntary Discharge Process for Dialysis Facilities

The Network frequently receives calls regarding the process of involuntarily discharging a patient. It is important first to note that involuntary discharge (IVD) should be an option of last resort. Additionally, discharging a patient for "non-compliance" is not an acceptable reason for discharge per the Centers for Medicare & Medicaid Services (CMS) Conditions for Coverage. Patients who are non-compliant are at higher risk for morbidity and mortality.

Before considering an IVD, the facility's interdisciplinary team (IDT) should conduct a thorough assessment of the situation and develop a plan to address any problems or barriers the patient may be experiencing. In the event that all options have been exhausted, the Network has several recommendations for the IVD process provided in the guidelines below. An IVD Checklist is also included detailing the required steps to use for your facility.

IVD Guidelines

1. Identify the Network of any potential IVD.
   - Notify the Network of the potential IVD.
   - It is the medical director's responsibility to make sure that no patient is discharged or transferred from the facility without:
     1. The patient or payer no longer desires the facility for the ordered services;
     2. The facility cannot be open;
     3. The transfer is necessary for the patient's welfare because the facility can no longer meet the patient's documented medical needs; or
     4. The facility has reassessed the patient and determined that the patient's behavior is disruptive or obstructive to the extent that the delivery of care to the patient or the ability of the facility to operate effectively is significantly impaired.

2. Have a policy and procedures in place for IVDs.
   - The Network recommends that all staff receive training in conflict management techniques and that this training is documented. The Network highly recommends the Documenting Patient/Provider Conflict (GPC) booklet. You can locate this tool on the ESRD Network Coordinating Center website at www.esrdcc.org.

3. Train facility staff.
   - The Network recommends that all staff receive training in conflict management techniques and that this training is documented. The Network highly recommends the Documenting Patient/Provider Conflict (GPC) booklet. You can locate this tool on the ESRD Network Coordinating Center website at www.esrdcc.org.

4. Documentation.
   - It is required that all of the staff document any problems, behaviors, or other problems and that the documentation be clear and complete.

5. IVD should be the option of last resort.
   - All efforts to resolve the problem have failed, and the patient's interventions to address these issues have been properly documented, then an involuntary discharge should be considered in the checklist. The discharge should be expected on an IVD form.

If you have any questions after reviewing, please call the Network at 813-881-1919.

IVD Checklist

Please initial and date each area when completed. Return the checklist to the Network within 2 business days of an IVD being completed by fax to 813-881-8315. Do not email the completed checklist to the Network.

<table>
<thead>
<tr>
<th>Date</th>
<th>Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td>IVD steps to Complete</td>
<td></td>
</tr>
</tbody>
</table>

1. Complete a comprehensive assessment and review of the plan of care for each patient. IVD should be considered only if all other options have been exhausted.
2. Document the patient's medical record and the discharge that IVD should be considered only if all other options have been exhausted.
3. Complete a comprehensive assessment of the plan of care for each patient. IVD should be considered only if all other options have been exhausted.
4. Document the patient's medical record and the discharge that IVD should be considered only if all other options have been exhausted.
5. Complete a comprehensive assessment of the plan of care for each patient. IVD should be considered only if all other options have been exhausted.
6. Document the patient's medical record and the discharge that IVD should be considered only if all other options have been exhausted.
7. Complete a comprehensive assessment of the plan of care for each patient. IVD should be considered only if all other options have been exhausted.
8. Document the patient's medical record and the discharge that IVD should be considered only if all other options have been exhausted.
9. Complete a comprehensive assessment of the plan of care for each patient. IVD should be considered only if all other options have been exhausted.
10. Document the patient's medical record and the discharge that IVD should be considered only if all other options have been exhausted.

In cases of immediate resource needs to the health and safety of others, the facility may use any involuntary discharge procedures. Use the Conditions for Coverage: Involuntary Discharge. An "immediate service shuts" is considered to be an threat of physical harm. For example, if a patient has a gun or blood, it is considered an "immediate service shuts". An angry verbal discharge or verbal abuse is considered to be an immediate service shuts.
References


References (cont.)


## Contact the Network Patient Services Staff

<table>
<thead>
<tr>
<th>Network</th>
<th>Phone Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Network 7</td>
<td>813.383.1530 x3368</td>
</tr>
<tr>
<td>Network 13</td>
<td>800.472.8664</td>
</tr>
<tr>
<td></td>
<td>405.942.6000</td>
</tr>
<tr>
<td>Network 15</td>
<td>303.831.8818, Option 3</td>
</tr>
<tr>
<td>Network 17</td>
<td>415.897.2400, Option 2 or 5</td>
</tr>
</tbody>
</table>
Thank You!