Embrace Changes and Prevent Overdose:
A Basic Blueprint for Legal Risk Mitigation and Response

Created and presented by:
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PainWeek and PainWeekEnd 2019

3/3/19

Disclosures for Jennifer Bolen, JD (as of 03/01/2019)

- Consultant: Paradigm Labs

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Course Objectives

Identify	• Identify common trends in legal actions against opioid prescribers.
List and Describe	• List three common weaknesses associated with documentation of risk assessment of patients for chronic opioid therapy, and describe how they can contribute to bad legal outcomes.
Explain	• Explain how to create a risk evaluation action plan and supporting documentation.

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OBJECTIVE 1:

Identify common trends in legal actions against opioid prescribers.

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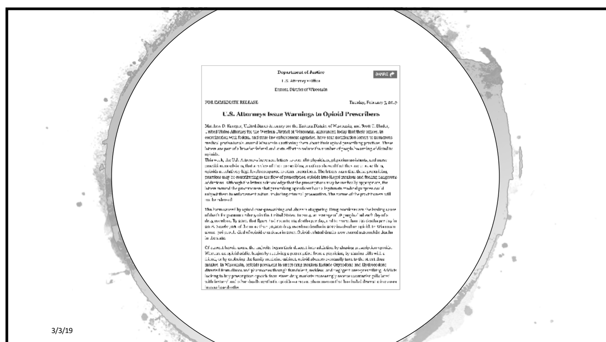


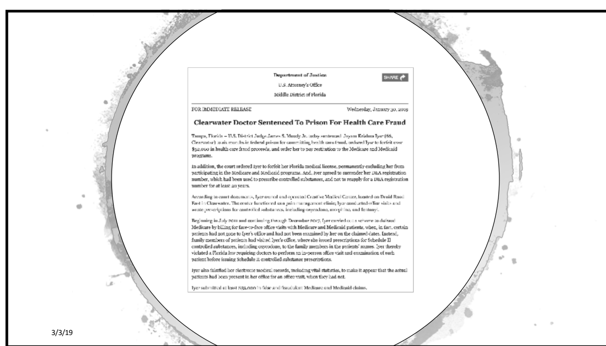
Department of Justice

U.S. Attorney's Office

Eastern District of Wisconsin

FOR IMMEDIATE RELEASE — Tuesday, February 5, 2019

U.S. Attorneys Issue Warnings to Opioid Prescribers



Department of Justice

U.S. Attorney's Office

Middle District of Florida

FOR IMMEDIATE RELEASE — Wednesday, January 30, 2019

Clearwater Doctor Sentenced To Prison For Health Care Fraud

Tampa, Florida – U.S. District Judge James S. Moody Jr. today sentenced Jayam Krishna Iyer (66, Clearwater) to six months in federal prison for committing health care fraud, ordered Iyer to forfeit over $52,000 in health care fraud proceeds, and order her to pay restitution to the Medicare and Medicaid programs.

In addition, the court ordered Iyer to forfeit her Florida medical license, permanently excluding her from participating in the Medicare and Medicaid programs. And, Iyer agreed to surrender her DEA registration number, which had been used to prescribe controlled substances, and not to reapply for a DEA registration number for at least 20 years.

According to court documents, Iyer owned and operated Creative Medical Center, located on Druid Road East in Clearwater. The center functioned as a pain management clinic; Iyer conducted office visits and wrote prescriptions for controlled substances, including oxycodone, morphine, and fentanyl.

Beginning in July 2011 and continuing through December 2017, Iyer carried out a scheme to defraud Medicare by billing for face-to-face office visits with Medicare and Medicaid patients, when, in fact, certain patients had not gone to Iyer's office and had not been examined by her on the claimed dates. Instead, family members of patients had visited Iyer's office, where she issued prescriptions for Schedule II controlled substances, including oxycodone, to the family members in the patients' names. Iyer thereby violated a Florida law requiring doctors to perform an in-person office visit and examination of each patient before issuing Schedule II controlled substance prescriptions.

Iyer also falsified her electronic medical records, including vital statistics, to make it appear that the actual patients had been present in her office for an office visit, when they had not.

Iyer submitted at least $52,000 in false and fraudulent Medicare and Medicaid claims.

Legitimate Medical Purpose
- One or more generally recognized medical indication for the use of the controlled substance

Usual Course of Professional Practice
- According to licensing and professional standards, including consideration of licensing board material;
- Steps of a "Reasonably Prudent" Practitioner

Reasonable Steps to Prevent Abuse and Diversion
- Proper Risk Evaluation, Stratification, and Monitoring Protocols, including overdose risk evaluation
- PDMP, UDT, NALOXONE, OPIOID TRIAL, VISIT FREQUENCY
- Many other "reasonable steps"

DEA "Standards" for Registrants who Prescribe Controlled Substances

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POSITION OF TRUST

Reminder:

Core Responsibilities when Prescribing Controlled Substances

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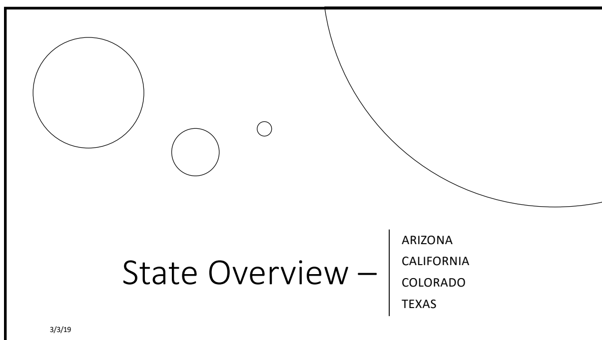

State Overview –

ARIZONA
CALIFORNIA
COLORADO
TEXAS

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INSERT STATE UPDATES FOR EACH LOCATION

- STATE-SPECIFIC SLIDES WILL BE INSERTED FOLLOWING RESEARCH JUST PRIOR TO THE PRESENTATION.
- THIS KEEPS THE MATERIAL CURRENT FOR ATTENDEES.
- BOLEN WILL UPLOAD USEFUL HANDOUTS AND CITE LINKS.
- ADDENDUM: I REMOVED HEAVY GRAPHICS (PDF CLIPS) FROM THIS SECTION TO REDUCE SIZE OF FILE. NONE REFERENCED ANY COMPANY OR MEDICATION BRAND. ALL LICENSING BOARD RELATED.

3/3/19

OBJECTIVE 2:

List three common weaknesses associated with documentation of risk assessment of patients for chronic opioid therapy, and describe how they can contribute to bad legal outcomes.

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LEGAL PERSPECTIVE:

Three common risk mitigation weaknesses – chronic opioid therapy

1. Poor Risk Assessment Process and Follow Through.
2. Untimely Use of Information gathered through Risk Assessment/Evaluation and Patient Encounters.
3. Failure to Coordinate Care with Other Healthcare Providers and Lack of Patient Education Related to Coordination of Care Issues.

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What does risk assessment and monitoring mean to you?

Audience input

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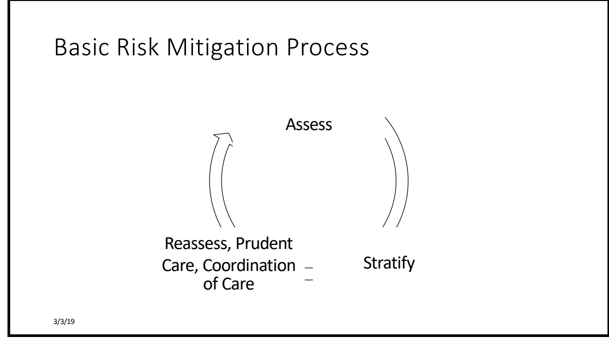

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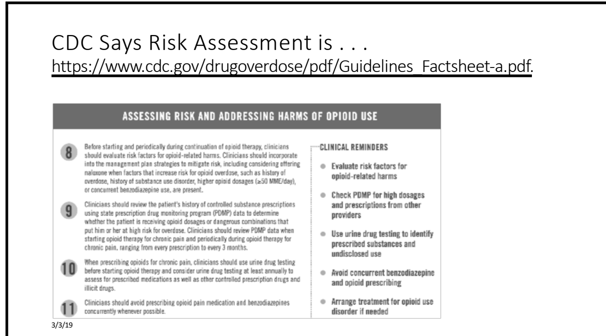
CDC Says Risk Assessment is . . .

https://www.cdc.gov/drugoverdose/pdf/Guidelines_Factsheet-a.pdf.



ASSESSING RISK AND ADDRESSING HARMS OF OPIOID USE

8. Before starting and periodically during continuation of opioid therapy, clinicians should evaluate risk factors for opioid-related harms. Clinicians should incorporate into the management plan strategies to mitigate risk, including considering offering naloxone when factors that increase risk for opioid overdose, such as history of overdose, history of substance use disorder, higher opioid dosages (≥50 MME/day), or concurrent benzodiazepine use, are present.
9. Clinicians should review the patient's history of controlled substance prescriptions using state prescription drug monitoring program (PDMP) data to determine whether the patient is receiving opioid dosages or dangerous combinations that put him or her at high risk for overdose. Clinicians should review PDMP data when starting opioid therapy for chronic pain and periodically during opioid therapy for chronic pain, ranging from every prescription to every 3 months.
10. When prescribing opioids for chronic pain, clinicians should use urine drug testing before starting opioid therapy and consider urine drug testing at least annually to assess for prescribed medications as well as other controlled prescription drugs and illicit drugs.
11. Clinicians should avoid prescribing opioid pain medication and benzodiazepines concurrently whenever possible.

CLINICAL REMINDERS

- Evaluate risk factors for opioid-related harms
- Check PDMP for high dosages and prescriptions from other providers
- Use urine drug testing to identify prescribed substances and undisclosed use
- Avoid concurrent benzodiazepine and opioid prescribing
- Arrange treatment for opioid use disorder if needed

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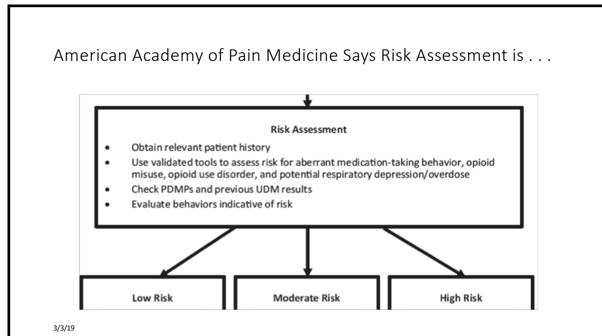
American Academy of Pain Medicine Says Risk Assessment is . . .



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American Academy of Pain Medicine Says Risk Factors of Opioid Misuse and Opioid Use Disorder Include . . .

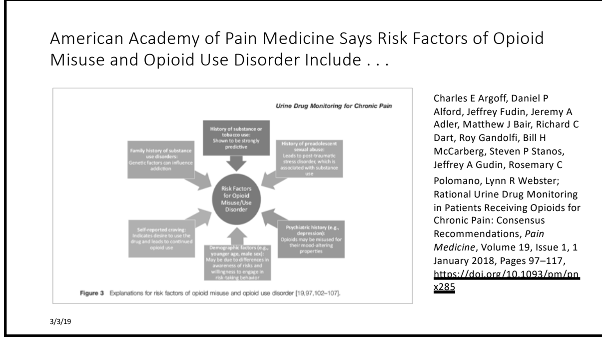

Figure 3 Explanations for risk factors of opioid misuse and opioid use disorder [19,97,102–107].

Charles E Argoff, Daniel P Alford, Jeffrey Fudin, Jeremy A Adler, Matthew J Bair, Richard C Dart, Roy Gandolfi, Bill H McCarberg, Steven P Stanos, Jeffrey A Gudin, Rosemary C Polomano, Lynn R Webster; Rational Urine Drug Monitoring in Patients Receiving Opioids for Chronic Pain: Consensus Recommendations, *Pain Medicine*, Volume 19, Issue 1, 1 January 2018, Pages 97–117, https://doi.org/10.1093/pm/pnx285

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Arizona Says Risk Mitigation is . . .

RISK MITIGATION

7 For patients on long-term opioid therapy, document informed consent which includes the risks of opioid use, options for alternative therapies and therapeutic boundaries.

The degree of risk associated with long term opioid therapy *(see Guideline 4S)* warrants completion of informed consent, to ensure and document patient and provider understanding of the risks and benefits of opioid therapy. Informed consent should be obtained prior to initiation and following any changes to the treatment plan.

A risk stratification should be performed as part of a risk/benefit assessment prior to initiating or continuing opioid therapy in patients with chronic pain. Risk assessment can be accomplished either by using existing opioid risk assessment tools such as the Opioid Risk Tool or the Screener and Opioid Assessment for Patients with Pain – Revised (SOAPP-R). There are known limitations of risk tools, including low-sensitivity for the ORT and patient burden for longer tools like the SOAPP-R.

The care of patients with chronic pain should include a comprehensive medical and pain-related evaluation that includes assessing for substance use, psychiatric comorbidities and functional status. Comorbidities of anxiety and depression in particular may influence pain perception and exacerbate pain complaints.

DO IT Incorporate an informed consent document for regular clinic use.

8 Do not use long-term opioid therapy in patients with untreated substance use disorders.

The recommendation against long-term opioid therapy for patients with substance use disorders is supported by at least five large studies and national recommendations. Among patients with untreated substance use disorder, opioids carry a significant risk for adverse outcomes including opioid use disorder, opioid overdose and death. The lack of evidence of efficacy of long term opioid therapy *(see Guideline 4S)* and considerable evidence of significant harms of overdose, death and suicide outweighs any potential modest benefit of prescribing long-term opioid therapy in this population. In these patients, treatment of pain should optimize non-pharmacologic and non-opioid pharmacotherapy.

For patients already receiving long-term opioid therapy who are diagnosed with an untreated substance use disorder, clinicians should monitor closely, offer or arrange for substance use disorder treatment, and proceed with an exit strategy from the use of long-term opioid therapy for chronic pain *(see Guideline #17)*.

9 Avoid concurrent use of opioids and benzodiazepines. If patients are currently prescribed both agents, evaluate tapering or an exit strategy for one or both medications.

https://azdhs.gov/documents/audiences/clinicians/clinical-guidelines-recommendations/prescribing-guidelines/az-opioid-prescribing-guidelines.pdf, Page

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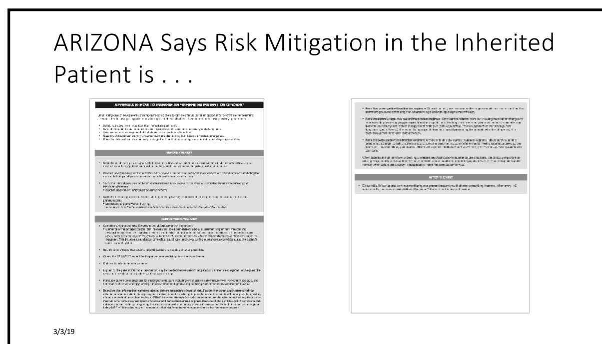

Additional Examples

- Washington State
- California
- Tennessee
- Texas
- Florida

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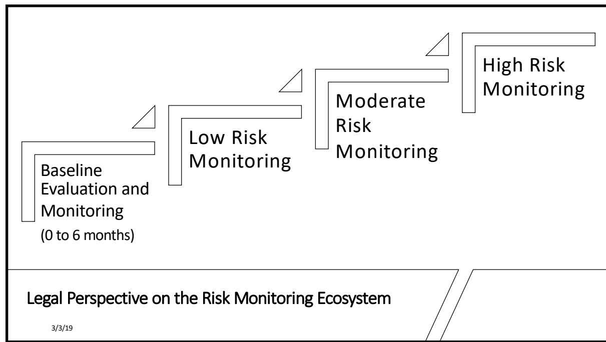

Categorizing "Risk Assessment" Directives and Giving them a Place in Your Office Work Flow

PATIENT RISK

Medical Co-Morbidities and Risk

Medication Regimen Risks

Psycho-Social, ADRBs, Hx of BH Issues; HX of Substance Use (ETOH, THC, Other Drugs) and Risk of Abuse, Diversion, Misuse, and Opioid Use Disorder

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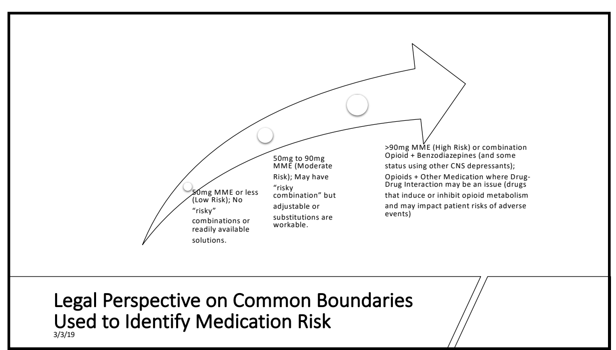

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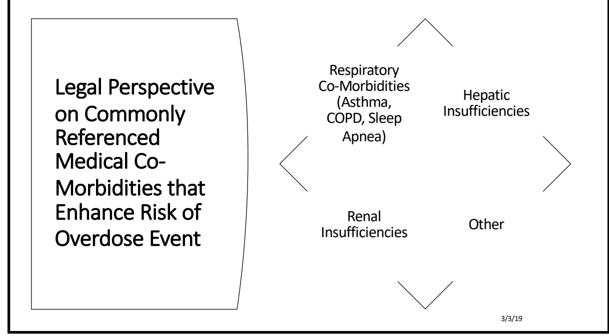

Legal Perspective: Commonly Referenced Psycho-Social Factors and Risk

- Behavioral Health History
- Aberrant, Drug Related Behaviors (PDMP-Doctor-shopping, Discharge for self-escalation, other behaviors tied to patient's relationship with prescription drugs and other substances)
- Smoking, Drinking - Personal and First Degree Relative History; Substance Use Disorder, Treatment, Etc.
- Other

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Quick Sorting of "Risk Assessment" Tools

- Questions you should ask yourself when you reexamine the "risk assessment" process and tools you use:
  - Which Risk Domain am I Addressing with a Particular Process or Tool?
  - How often do I use the tool? What should I do if I used the tool too often and the patient has given different answers?
  - How will I document that I addressed the same?
  - How will I factor the patient's "risk" under that domain into my overall risk evaluation of him/her?
    - How will I do so without inappropriately labeling the patient?
    - Do I need outside peer support to properly evaluate the patient?
  - How will I structure my "risk levels" –
    - Low, moderate, high?
    - Low and Mod/high?
    - Low and High?
  - How will I establish my treatment plan boundaries for each risk level? How will I keep this information current, so I can see it before each visit or procedure?

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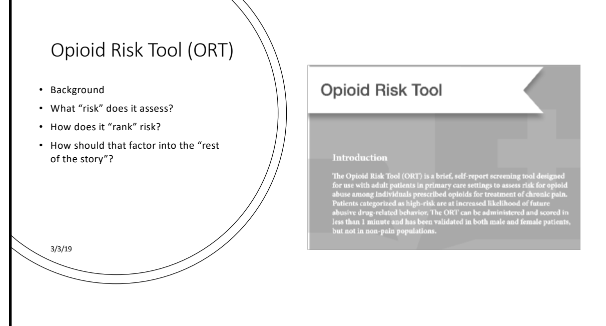

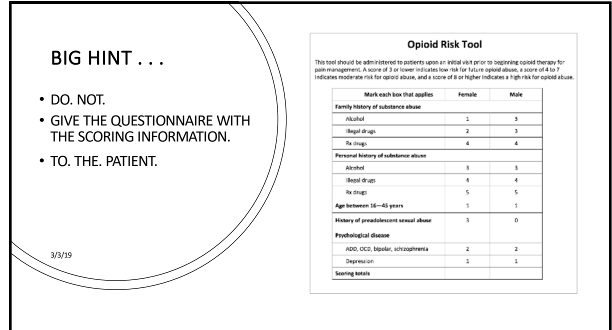

Opioid Risk Tool

This tool should be administered to patients upon an initial visit prior to beginning opioid therapy for pain management. A score of 3 or lower indicates low risk for future opioid abuse, a score of 4 to 7 indicates moderate risk for opioid abuse, and a score of 8 or higher indicates a high risk for opioid abuse.

Mark each box that applies	Female	Male
Family history of substance abuse		
Alcohol	1	3
Illegal drugs	2	3
Rx drugs	4	4
Personal history of substance abuse		
Alcohol	3	3
Illegal drugs	4	4
Rx drugs	5	5
Age between 16—45 years	1	1
History of preadolescent sexual abuse	3	0
Psychological disease		
ADD, OCD, bipolar, schizophrenia	2	2
Depression	1	1
Scoring totals		

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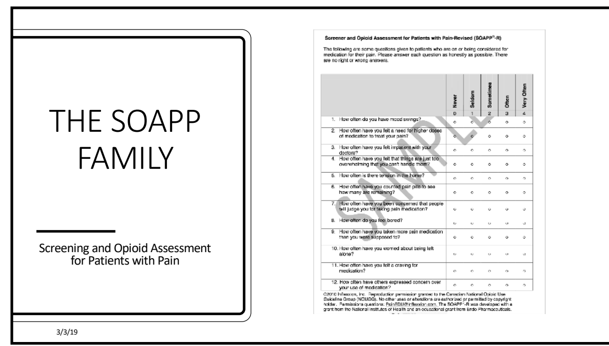

Screener and Opioid Assessment for Patients with Pain-Revised (SOAPP®-R)

The following are some questions given to patients who are on or being considered for medication for their pain. Please answer each question as honestly as possible. There are no right or wrong answers.

	Never 0	Seldom 1	Sometimes 2	Often 3	Very Often 4
1. How often do you have mood swings?	○	○	○	○	○
2. How often have you felt a need for higher doses of medication to treat your pain?	○	○	○	○	○
3. How often have you felt impatient with your doctors?	○	○	○	○	○
4. How often have you felt that things are just too overwhelming that you can't handle them?	○	○	○	○	○
5. How often is there tension in the home?	○	○	○	○	○
6. How often have you counted pain pills to see how many are remaining?	○	○	○	○	○
7. How often have you been concerned that people will judge you for taking pain medication?	○	○	○	○	○
8. How often do you feel bored?	○	○	○	○	○
9. How often have you taken more pain medication than you were supposed to?	○	○	○	○	○
10. How often have you worried about being left alone?	○	○	○	○	○
11. How often have you felt a craving for medication?	○	○	○	○	○
12. How often have others expressed concern over your use of medication?	○	○	○	○	○

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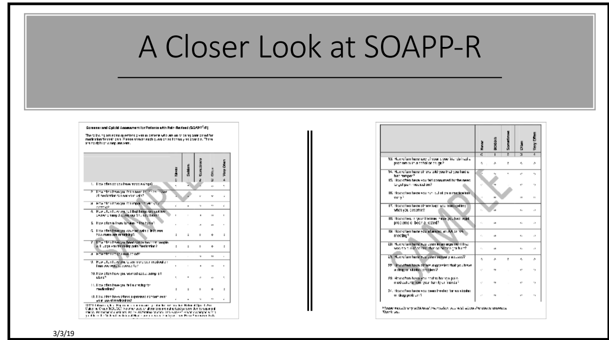

NEW SOAPP-8 and OTHERS

- Cannot access SOAPP-8 publicly; Paid access unless other arrangements are made.
- Differences between SOAPP-8 and SOAPP-R
- Additional Discussion

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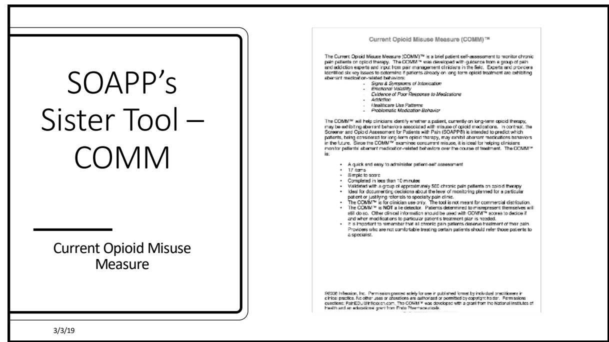
SOAPP's Sister Tool – COMM
Current Opioid Misuse Measure
Current Opioid Misuse Measure (COMM)™
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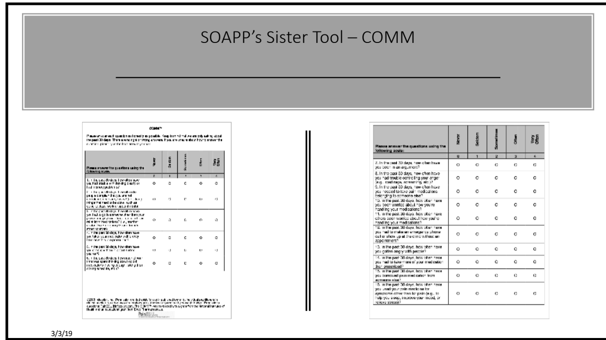
SOAPP's Sister Tool – COMM
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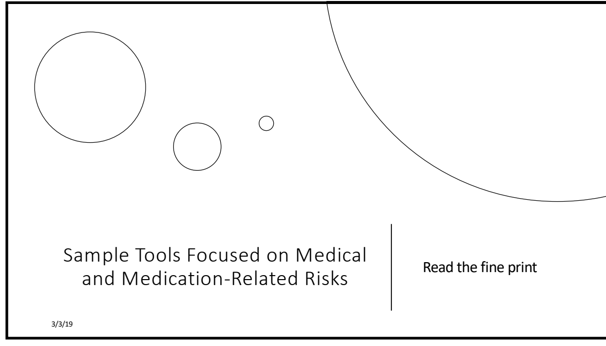
Sample Tools Focused on Medical and Medication-Related Risks
Read the fine print
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General Resources for Tools on Medication and Medical Risks: Evaluation and Monitoring

- CDC
- SAMHSA (focus for purpose of lecture)
- FSMB
- State Licensing Boards
- Local Medical Associations

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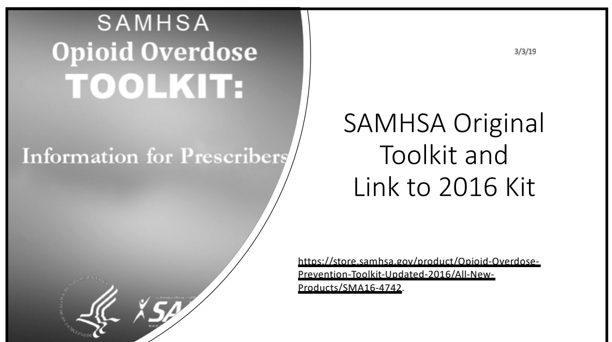
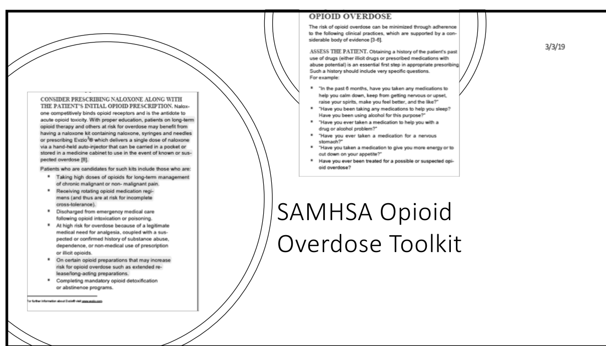
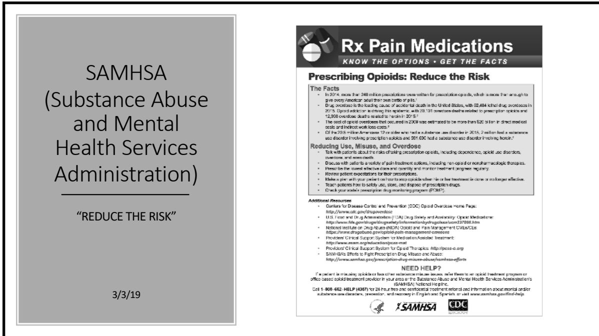
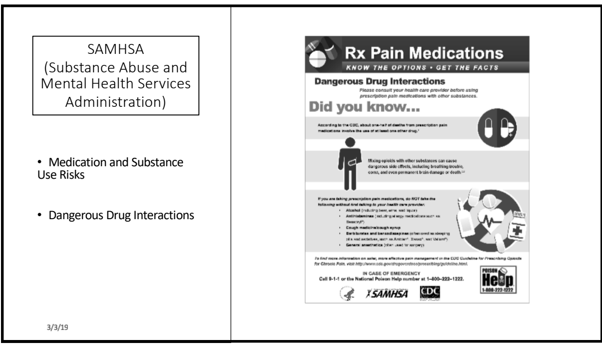
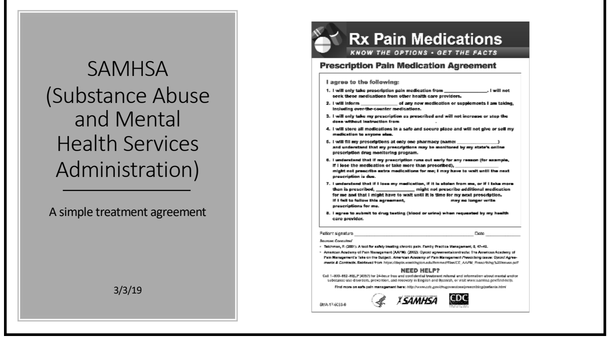
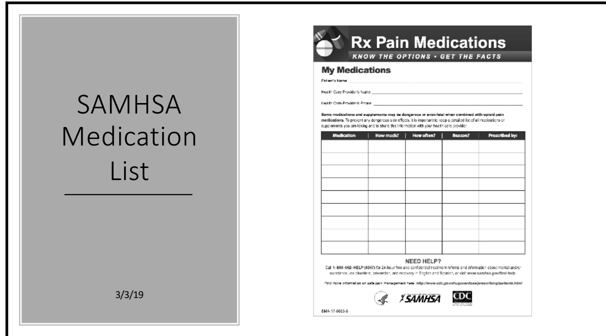


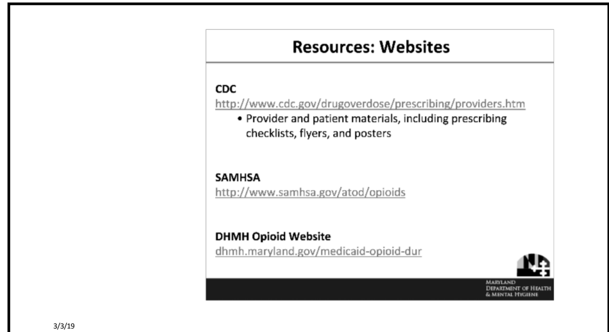



SAMHSA
(Substance Abuse and Mental Health Services Administration)
"REDUCE THE RISK"
3/3/19
Rx Pain Medications
KNOW THE OPTIONS • GET THE FACTS
Prescribing Opioids: Reduce the Risk
NEED HELP?
SAMHSA
CDC


SAMHSA
(Substance Abuse and Mental Health Services Administration)
• Medication and Substance Use Risks
• Dangerous Drug Interactions
3/3/19
Rx Pain Medications
KNOW THE OPTIONS • GET THE FACTS
Dangerous Drug Interactions
Did you know...
SAMHSA
CDC


SAMHSA
(Substance Abuse and Mental Health Services Administration)
A simple treatment agreement
3/3/19
Rx Pain Medications
KNOW THE OPTIONS • GET THE FACTS
Prescription Pain Medication Agreement
NEED HELP?
SAMHSA
CDC


SAMHSA
Medication
List
3/3/19
Rx Pain Medications
KNOW THE OPTIONS • GET THE FACTS
My Medications
NEED HELP?
SAMHSA
CDC


Resources: Websites
CDC
http://www.cdc.gov/drugoverdose/prescribing/providers.htm
• Provider and patient materials, including prescribing checklists, flyers, and posters
SAMHSA
http://www.samhsa.gov/atod/opioids
DHMH Opioid Website
dhmh.maryland.gov/medicaid-opioid-dur
Maryland
Department of Health
& Mental Hygiene
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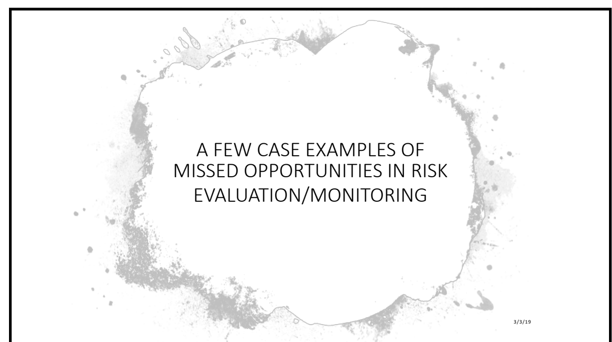
A FEW CASE EXAMPLES OF
MISSED OPPORTUNITIES IN RISK
EVALUATION/MONITORING
3/3/19

John Smith's Last Risk Assessment Responses Mar. 9, 2018

SOAPP – R — Mar. 9, 2018

The following are some questions given to patients who are on or being considered for medication for their pain. Please answer each question as honestly as possible. There are no right or wrong answers.

JOHN SMITH	NEVER 0	SELDOM 1	SOMETIMES 2	OFTEN 3	VERY OFTEN 4
1. How often do you have mood swings?					✓
2. How often have you felt a need for higher doses of medication to treat your pain?					✓
3. How often have you felt impatient with your doctors?		✓			
4. How often have you felt that things are just too overwhelming that you can't handle them?					✓
5. How often is there tension in the home?					✓
6. How often have you counted pain pills to see how many are remaining?					✓
7. How often have you been concerned that people will judge you for taking pain medication?					✓
8. How often do you feel bored?					✓
9. How often have you taken more pain medication than you were supposed to?					✓
10. How often have you worried about being left alone?				✓	
11. How often have you felt a craving for medication?					✓
12. How often have others expressed concern over your use of medication?					✓
13. How often have any of your close friends had a problem with alcohol or drugs?	✓				

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• Phone 617-332-6028 • fax 617-332-1820 • www.inflexxion.com
The screener and Opioid assessment for patients with pain was developed with a grant from the National Institutes Of Health (#2R44DA015617-02)

John Smith

	NEVER 0	SELDOM 1	SOMETIMES 2	OFTEN 3	VERY OFTEN 4
14. How often have others told you that you had a bad temper?					✓
15. How often have you felt consumed by the need to get pain medication?				✓	all the time
16. How often have you run out of pain medication early?					
17. How often have others kept you from getting what you deserve?					
18. How often, in your lifetime, have you had legal problems or been arrested?	✓				
19. How often have you attended an AA or NA meeting?	✓				
20. How often have you been in an argument that was so out of control that someone got hurt?	✓				
21. How often have you been sexually abused?	✓				
22. How often have others suggested that you have a drug or alcohol problem?	✓				
23. How often have you had to borrow pain medications from your family or friends?	✓				
24. How often have you been treated for an alcohol or drug problem?	✓				

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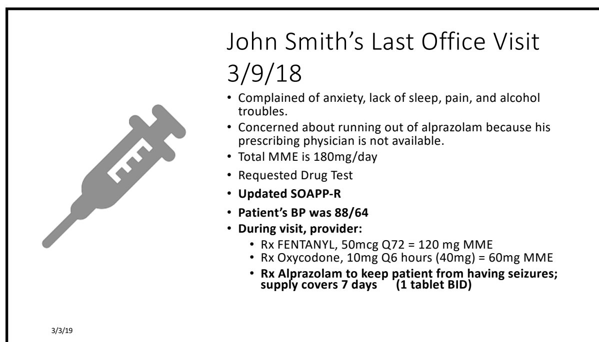
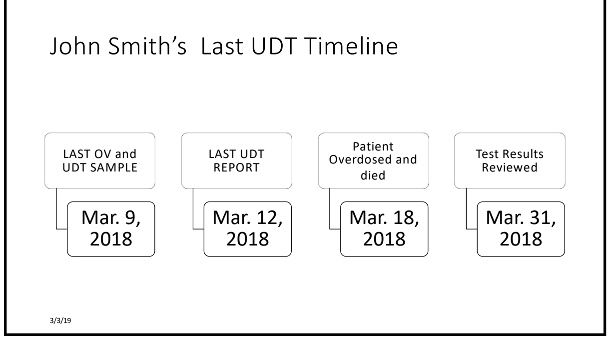
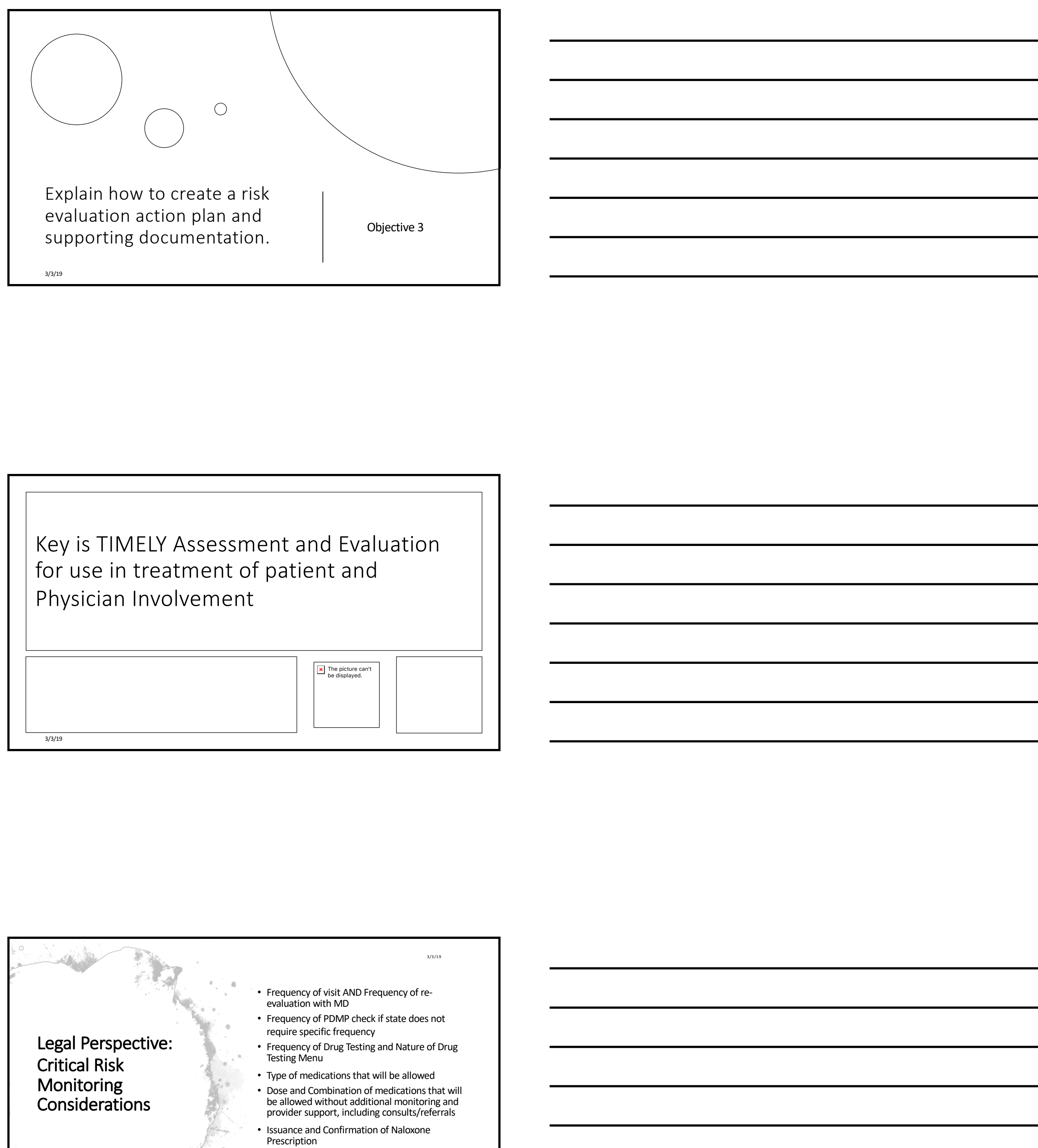
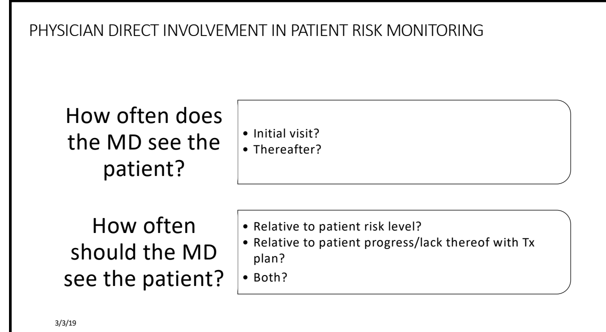
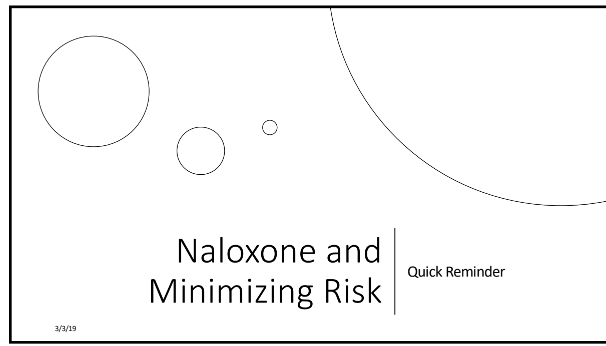
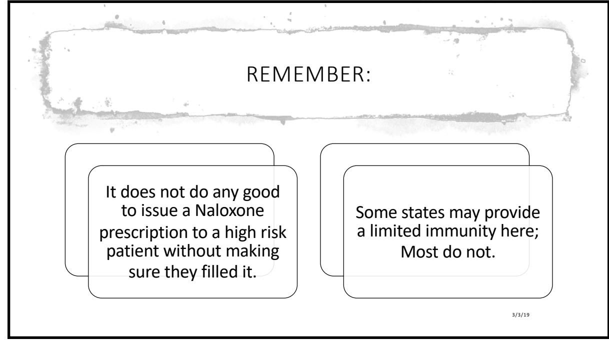


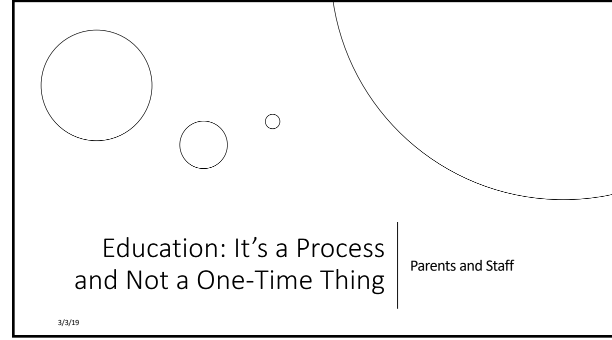


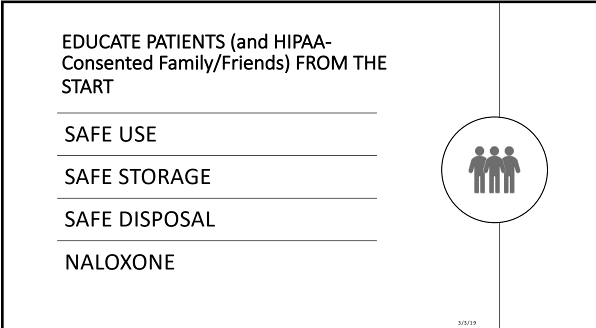

Explain how to create a risk evaluation action plan and supporting documentation.
Objective 3
3/3/19
Key is TIMELY Assessment and Evaluation for use in treatment of patient and Physician Involvement
The picture can't be displayed.
3/3/19
3/3/19
Legal Perspective: Critical Risk Monitoring Considerations
• Frequency of visit AND Frequency of re-evaluation with MD
• Frequency of PDMP check if state does not require specific frequency
• Frequency of Drug Testing and Nature of Drug Testing Menu
• Type of medications that will be allowed
• Dose and Combination of medications that will be allowed without additional monitoring and provider support, including consults/referrals
• Issuance and Confirmation of Naloxone Prescription
• Exit or Additional Provider Support Strategies

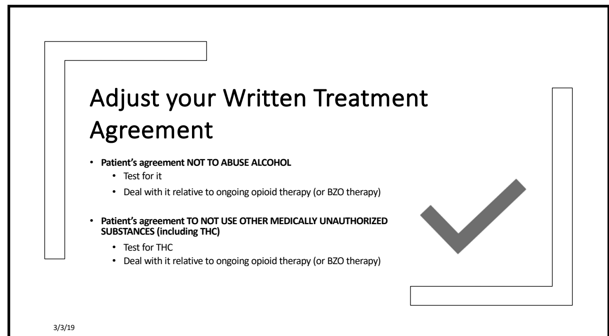

PHYSICIAN DIRECT INVOLVEMENT IN PATIENT RISK MONITORING
How often does the MD see the patient?
• Initial visit?
• Thereafter?
How often should the MD see the patient?
• Relative to patient risk level?
• Relative to patient progress/lack thereof with Tx plan?
• Both?
3/3/19


Naloxone and Minimizing Risk
Quick Reminder
3/3/19


REMEMBER:
It does not do any good to issue a Naloxone prescription to a high risk patient without making sure they filled it.
Some states may provide a limited immunity here; Most do not.
3/3/19







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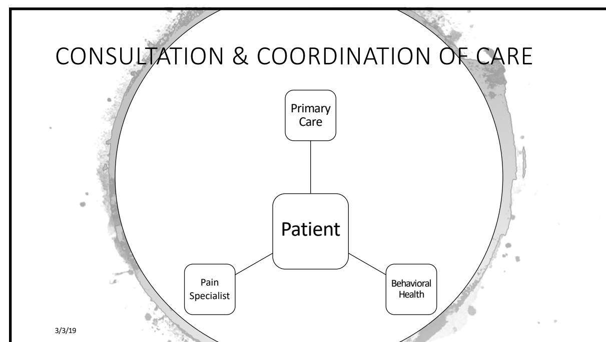
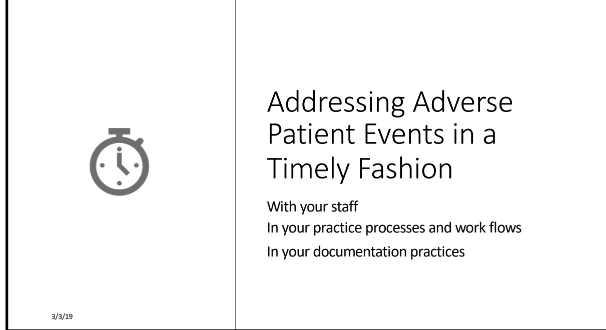
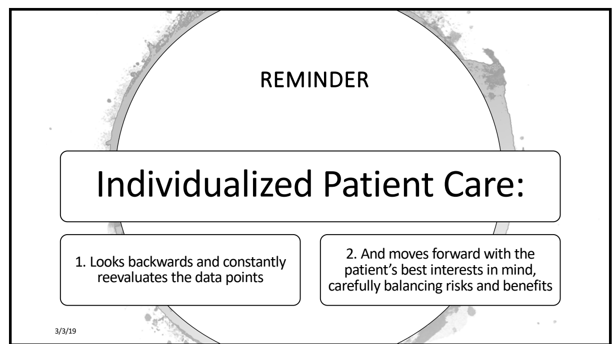
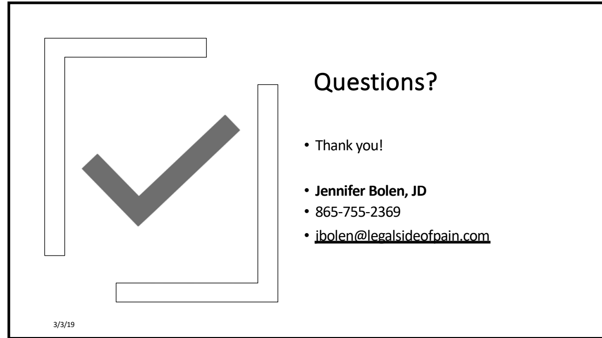
Coordination of Care
Addressing the Weaknesses
3/3/19


CONSULTATION & COORDINATION OF CARE
Primary Care
Patient
Pain Specialist
Behavioral Health
3/3/19


Addressing Adverse Patient Events in a Timely Fashion
With your staff
In your practice processes and work flows
In your documentation practices
3/3/19





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