State-approved Curriculum
NURSE AIDE I TRAINING PROGRAM
July 2019
Module E

North Carolina Department of Health and Human Services
Division of Health Service Regulation
Health Care Personnel Education and Credentialing Section
NCDHHS is an equal opportunity provider and employer.
Module E – Law and Ethics
Teaching Guide

Objectives

- Describe ethical conduct
- Describe a resident’s rights in the nursing home
- Give examples of abuse, neglect, and misappropriation of property
- Explain the role of the Health Care Personnel Registry
- Explain the role of the nurse aide in securing informed consent prior to providing care to the resident

Handouts – Duplicate one copy each per student

- #1E Mistreatment of the Vulnerable Adult
- #5E North Carolina's Bill of Rights for Nursing Home Residents (Condensed Version)

Advance Preparation – In General

- Review curriculum and presentation materials
- Add examples or comments to Notes Section
- Set up computer/projector
- Establish internet connection

Advance Preparation – Teaching Tips

- #2E Web site: Review the following website: NC Division of Health Service Regulation [www.ncnar.org](http://www.ncnar.org)
  o Health Care Personnel Investigations (& Registry) – located by clicking on the same name on left side of screen, then clicking on Provider Information on the left side of resulting screen, scrolling down the resulting screen and pointing out the following:
    ▪ Reportable Allegations and Types
    ▪ How to Report Allegations (click and scroll down through the process)

- #5E Resident's Rights: Duplicate and distribute a copy of the North Carolina's Bill of Rights for Nursing Home Residents (Condensed Version) to each student. Point out the posted federal Resident Rights' document when in clinical.
Module E – Laws and Ethics
Definition List

**Abuse** – willful infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm, pain, or mental anguish

**Assault** – act of threatening to touch, or attempting to touch a person, without proper consent

**Basic Human Rights** – protected by the Constitution of the United States and state that a person has the right to be treated with respect, live in dignity, pursue a meaningful life and be free of fear

**Battery** – touching a person without consent

**Civil Law** – law that deals with relationships between people

**Code of Ethics** – rules of conduct for particular group, may differ from one facility to another, but revolves around idea that resident is valuable person who deserves ethical care

**Confidentiality** – not disclosing or telling information that is personal or private about a resident, except to authorized people

**Consent** – the right to decide what will be done to the body and who can touch the body, may be written consent, verbal consent, or implied consent

**Criminal Law** – offenses against the public and society

**Defamation** – false statement made to a third person that causes a person shame or ridicule, or ruins their reputation; written is called libel; verbal is called slander

**Disclosure** – making known to the public

**Diversion of Drugs** – unauthorized taking or use of any drug

**Exploitation** – Exploitation means taking advantage of a resident for personal gain using manipulation, intimidation, threats, or coercion.

**False Imprisonment** – unlawful restraining or restricting a person’s movement

**Fraud** – an intentional deception or misrepresentation made by a person with knowledge that deception could result in some unauthorized benefit to self or some other person

**Invasion of Privacy** – violation of right to control personal information or the right to be left alone
Module E

**Laws** – rules made by government to help protect public

**Malpractice** – giving care for which you are not allowed legally to perform

**Misappropriation of Property** – deliberate misplacement, exploitation, or wrongful, temporary, or permanent use of a resident's belongings or money without the resident's consent

**Neglect** – a failure to provide goods and services to a resident that are necessary to avoid physical harm, pain, mental anguish, or emotional distress

**Negligence** – actions or failure to act or give proper care resulting in injury

**Nondisclosure** – not making known to the public

**Privacy** – the personal responsibility and activities done to prevent the intrusion of one person onto another

**Resident's Rights** – rights that have been written into Federal law (OBRA) that identify how a resident must be treated while living in a long-term care facility

**Sexual abuse** – non-consensual sexual contact of any type with a resident

**Vulnerable Adults** – adults who are at risk for abuse or mistreatment because they are not able to protect selves from harm due to mental, emotional, developmental disability; or brain damage; or changes from aging
### Module E – Laws and Ethics

#### (S-1) Title Slide

#### (S-2) Objectives
1. Describe ethical conduct.
2. Describe a resident’s rights in the nursing home.
3. Give examples of abuse, neglect, and misappropriation of property.
4. Explain the role of the Health Care Personnel Registry.
5. Explain the role of the nurse aide in securing informed consent prior to providing care to the resident.

<table>
<thead>
<tr>
<th>Content</th>
<th>Notes</th>
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<tbody>
<tr>
<td>(S-3) Laws</td>
<td>• Are rules made by government to help protect public&lt;br&gt;• Person liable if laws not obeyed and may be fined or jailed&lt;br&gt;• Two types&lt;br&gt;  o Criminal – offenses against the public&lt;br&gt;  o Civil – deal with relationships between people</td>
</tr>
<tr>
<td>(S-4) Legal – Key Terms (1)</td>
<td>• Tort – a wrong committed against a person or property&lt;br&gt;  o Unintentional – did not mean to cause harm&lt;br&gt;  o Intentional – did mean to cause harm&lt;br&gt;• Malpractice&lt;br&gt;  o Giving care for which you are not allowed legally to perform&lt;br&gt;  o Example – nurse aide performing treatment only allowed by nurses, such as starting a blood transfusion&lt;br&gt;• Negligence&lt;br&gt;  o Actions or failure to act or give proper care, resulting in injury&lt;br&gt;  o Examples – brakes on wheelchair not locked and resident falls, failure to provide water if permitted and resident requests</td>
</tr>
<tr>
<td>(S-5) Assault and Battery</td>
<td>• Assault&lt;br&gt;  o Act of threatening to touch, or attempting to touch a person, without proper consent (key is consent)&lt;br&gt;  o Example – threatening to “tie a resident down”&lt;br&gt;• Battery&lt;br&gt;  o Touching a person without consent&lt;br&gt;  o Example – hitting a resident&lt;br&gt;  o Example – performing a procedure that resident refused</td>
</tr>
<tr>
<td>(S-6) Consent</td>
<td>• The right to decide what will be done to the body and who can touch the body</td>
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</table>
### Module E – Laws and Ethics

<p>| | |</p>
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<tr>
<td><strong>• Example of written consent</strong> – signs a form (nurse aide does not obtain this)</td>
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<td><strong>• Example of verbal consent</strong> – a verbal “yes” or “ok” (nurse aide can obtain this)</td>
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<tr>
<td><strong>• Example of implied consent</strong> – resident extends arm after nurse aide asks to check blood pressure (nurse aide can obtain this)</td>
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#### (S-7) Invasion of Privacy

- Violation of right to control personal information or the right to be left alone
- Example – gossiping in the hall about a resident’s medical condition and others hear the conversation
- Example – picture taken of resident and put on a social network, without consent

#### (S-8) Legal – Key Terms (2)

- **False imprisonment**
  - Unlawful restraining or restricting a person’s movement
  - Example – restraining a person, without authorization or justification
  - Example – not allowing a person to leave a facility
- **Defamation**
  - False statement made to a third person that causes a person shame or ridicule, or ruins the reputation
  - Written is libel
  - Verbal is slander
  - Example – saying or writing that a resident is insane

#### (S-9) Legal – Key Terms (3)

- **Diversion of drugs** – unauthorized taking or use of any drug
- **Fraud** – an intentional deception or misrepresentation made by a person with knowledge that deception could result in some unauthorized benefit to self or some other person

#### (S-10) Importance of Laws

- Laws tell people what they can and cannot do
- Laws are written to protect the public and society from harm

#### (S-11) Legal – Nurse Aide’s Role

- Understand range of function and know what he/she can legally perform, while on duty
- Keep skills and knowledge current
- Keep resident’s safety and well-being in mind
- Understand directions for use when using equipment, materials, supplies
Module E – Laws and Ethics

- Follow long-term care facility’s policy and procedures, regarding care of resident
- Do no harm to resident or belongings
- Report questionable practices by others to the nurse
- Review legal key terms and understand examples of each

HANDOUT #1E: Mistreatment of the Vulnerable Adult

Distribute handout to class.

TEACHING TIP #1E: Mistreatment of the Vulnerable Adult

Handout Begins

Refer to the Mistreatment of the Vulnerable Adult Handout and for the next eight (8) slides point out each particular part in the handout depicted on each slide and go over with students.

(S-12) Who are Vulnerable Adults?
- Adults who are at risk for abuse or mistreatment because they are not able to protect selves from harm due to mental, emotional, developmental disability; or brain damage; or changes from aging

(S-13) We Must Protect our Vulnerable Adults From...
- Neglect – a failure to provide goods and services necessary to avoid physical harm, mental anguish, or mental illness
- Misappropriation of property – illegal or improper use of resident’s money, property, assets; by another, without consent, for personal gain
- Abuse – willful infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm, pain, or mental anguish
- Exploitation – taking advantage of a resident for personal gain by manipulation, intimidation, threats, or coercion.

(S-14) Role of the Nurse Aide in Regards to Prevention of the Mistreatment of Vulnerable Adult
- Care of personal property
  - Handle possessions carefully
  - Report observed theft
  - Add any new possessions to list of resident belongings, per facility policy
  - Mark items with resident’s name
  - Do not accept tips or ask for tips
Module E – Laws and Ethics

- Review key terms and understand what must be reported to nurse
- Recognize signs/symptoms of various types of abuse, neglect, and misappropriation of funds
- If abuse is observed by another health care provider, stop abuse and report immediately to nurse
- Report questionable practices by others to nurse

**TEACHING TIP #2E: Role-play**

Role-play a situation between a nurse aide and a resident where a tip is offered for a service.

*Ask for volunteers, one to be resident, one to be nurse aide. Resident offers a monetary tip for something the nurse aide did while caring for the resident (examples: helping with a shower, straightening the resident’s room) and continues to press nurse aide to accept tip at least once after offering tip. Nurse aide refuses tip each time.*

After role-play, point out the following:
- Residents are paying for service
- Nurse aide is paid to provide service
- Care is based on need, not race, creed, color, age or financial resources
- Tact and courtesy are important when refusing tip
- Nurse aide continues to be helpful

**(S-15) Signs, Symptoms, and Examples of Neglect**

- Dehydration, malnutrition, untreated pressure ulcers, and poor personal hygiene
- Unsanitary and unclean conditions, such as being dirty, having to lie in feces or urine, inadequate clothing
- Resident’s report of neglect

**(S-16) Misappropriation of Property**

- Signs and Symptoms
  - The sudden appearance of a staff member’s name on a bank signature card
  - The discovery of a forged version of the resident’s name
  - The sudden and unauthorized withdrawal of money using an ATM card or other means
  - Unexplained disappearance of the resident’s personal property or money from the resident’s room
  - Resident’s report of missing personal property, assets, or money
- Examples
  - Cashing a resident’s checks without permission
### Module E – Laws and Ethics

<table>
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## Module E – Laws and Ethics

### (S-19) Exploitation

- **Signs and symptoms**
  - Resident inconsistent with longstanding values/beliefs
  - Wills, living wills, trusts, income flow altered with new caretaker or friend as beneficiary/executor
  - Begins using new bankers, physician, attorneys
  - Increasingly helpless, frightened, despondent, feeling only caretaker or friend can prevent further decline
  - Resident does not see true nature of the caretaker or friend

- **Examples**
  - New friend or caretaker appears to have restrictive control and dominance over resident
  - Visitors are denied access to resident
  - New friend or caretakers makes all decisions for resident
  - Resident mistrusts family members and long-time friends

### TEACHING TIP #3E: Mistreatment of the Vulnerable Adult

**Handout Ends**

The use of Mistreatment of the Vulnerable Adult Handout ends.

### (S-20) Health Care Personnel Registry (HCPR)

- Lists pending allegations and substantiated findings of nurse aides and other unlicensed personnel
- HCPR listings can lead to negative consequences for the nurse aide
- Substantiated finding of abuse, neglect and misappropriation of resident property will cause a finding on the HCPR
- Nurse aides cannot be employed in a nursing home with a substantiated finding on the HCPR

### TEACHING TIP #4E: Web site

Remind the student about the Health Care Personnel Investigations’ web page located at the [www.ncnar.org](http://www.ncnar.org) Web site:

You may want to navigate back to the Web site as a review

- Reportable Allegations and Types
- How to Report Allegations (click and scroll down through the process)
### Module E – Laws and Ethics

#### (S-21) Mistreatment of Vulnerable Adult – Points to Remember
- Abuse is cause for immediate dismissal of the perpetrator and posted on Nurse Aide Registry, if substantiated
- Not reporting abuse is aiding and abetting

#### (S-22) Ethics and Code of Ethics
- Ethics
  - Is knowledge of what is right conduct and wrong conduct, or knowing right from wrong
  - Inner knowledge that assists us in making choices or judgments
- Code of Ethics
  - Rules of conduct for particular group
  - May differ from one facility to another, but revolves around idea that resident is valuable person who deserves ethical care
  - Helps employees deal with issues of right and wrong
- Confidentiality – not disclosing or telling information that is personal or private about a resident, except to authorized people
- Privacy
  - The personal responsibility and activities that prevent the intrusion of one person onto another
  - Example – pulling suspended curtains completely around a resident’s bed during care provides physical barrier from others
  - Example – lowering one’s voice when talking in the hall about a resident’s condition

**HANDOUT #2E: North Carolina's Bill of Rights for Nursing Home Residents (Condensed Version)**

Distribute handout to class.

**TEACHING TIP #5E: North Carolina's Bill of Rights for Nursing Home Residents (Condensed Version)**

Refer to the North Carolina's Bill of Rights for Nursing Home Residents (Condensed Version)
- Point out rights #1, 5, 6, 8, 10, and 11 where nurse aide plays a distinct role
- Point out posted federal Resident Rights when in clinical
- If instructor wants to review the latest federal regulations for Resident Rights in nursing homes – located at https://www.law.cornell.edu/cfr/text/42/483.10

#### (S-23) Basic Human Rights
### Module E – Laws and Ethics

- Are protected by the Constitution of the United States
- Right to be treated with respect, live in dignity, pursue a meaningful life and be free of fear
- Examples of infringement of these rights – addressing residents as children, using demeaning nicknames for residents, leaving door open during bath, threatening a resident with harm

#### (S-24) Resident’s Rights

- Defined
  - Residents have same legal rights as all citizens of the United States plus legally protected Resident’s Rights
  - Rights that have been written into federal law (OBRA) that identify how a resident must be treated while living in a long-term care facility
  - Provides a code of ethics for health care providers
  - Posted in long-term care facility and given to resident/legal representative on admission
- Ombudsman – every resident living in a North Carolina long-term care facility has access to a person assigned to their district who supports or promotes their interests
  - District assignments of NC long term care ombudsman – located at [https://files.nc.gov/ncdhhs/Ombudsman-Contact%20List_2.pdf](https://files.nc.gov/ncdhhs/Ombudsman-Contact%20List_2.pdf)

#### (S-25) Ethics – Importance

- Knowledge of right and wrong guides sense of duty and conduct of all health care providers
- Guides all health care providers in providing quality care
- Governs actions of health care providers
- Vital to safety and well-being of residents

#### (S-26) Ethics – Nurse Aide’s Role (1)

- Use good judgment
- Keep staff and resident information confidential
- Document accurately
- Follow plan of care as outlined
- Be honest and trustworthy at all times
- Report abuse or suspected abuse
- Understand and respect Resident’s Rights

#### (S-27) Ethics – Nurse Aide’s Role (2)

- Report all resident observations and incidents
- Show empathy for residents
- Respect all residents equally
- Provide high quality of resident care
- Protect residents’ privacy
- Treat all residents professionally
### Module E – Laws and Ethics

- Avoid stereotyping due to residents beliefs or culture
- Respect values and beliefs that differ from your own
- Safeguard the resident’s property

#### (S-27) Ethics – Points to Remember (3)
- Ethical behavior – always being accountable for actions
- When do nurse aides use ethical behavior? Always!
- Ethical behavior can vary with different cultures and social backgrounds
- We are all individuals who think differently

#### (S-28) Ethics – Points to Remember (4)
- End of life decision making usually follow resident’s individual ethical principles
- Nurse aides must respect fact that resident has right to make own self-determination regarding end of life decisions and may differ from nurse aide’s own personal ethics
- Resident has
  - Right to refuse medical intervention at end of life
  - Right to request everything possible in order to prolong life
Handout #1E: Mistreatment of the Vulnerable Adult

Who Are Vulnerable Adults?
Adults who are at risk for abuse or mistreatment because they are not able to protect selves from harm due to mental, emotional, developmental disability; or brain damage; or changes from aging

We Must Protect Them From...
- Abuse – willful infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm, pain, or mental anguish
- Neglect – a failure to provide goods and services necessary to avoid physical harm, mental anguish, or mental illness
- Misappropriation – illegal or improper use of resident’s money, property, assets; by another, without consent, for personal gain
- Exploitation – taking advantage of a resident for personal gain through the use of manipulation, intimidation, threats, or coercion

What is the Role of the Nurse Aide in Regards to Prevention of the Mistreatment of Vulnerable Adult?
- Personal property
  - Handle possessions carefully
  - Report observed theft
  - Add any new possessions to list of resident belongings, per facility policy
  - Mark items with resident’s name
  - Do not accept tips or ask for tips
- Report questionable practices by others to nurse
- If abuse is observed by another health care provider, stop abuse and report immediately to nurse
- Review key terms and understand what must be reported to nurse
- Recognize signs/symptoms of various types of abuse, neglect, misappropriation and exploitation

Signs, Symptoms, and Examples of Neglect
- Dehydration, malnutrition, untreated pressure ulcers, and poor personal hygiene
- Unsanitary and unclean conditions, such as being dirty, having to lie in feces or urine, inadequate clothing
- Resident’s report of neglect
## Chart of Abuse

### Misappropriation of Property

<table>
<thead>
<tr>
<th>Signs/Symptoms</th>
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<tbody>
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<td>• Cashing a resident’s checks without permission</td>
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<td>• Discovery of forged version of the resident’s name</td>
<td>• Forging a resident’s name on documents</td>
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<td>• Sudden and unauthorized withdrawal of money using an ATM card or other means</td>
<td>• Misusing or stealing a resident’s money or personal property</td>
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### Physical Abuse

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### Emotional or Psychological Abuse

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### Exploitation

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<td>• Resident does not see true nature of the caretaker or friend</td>
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EVERY RESIDENT SHALL HAVE THE FOLLOWING RIGHTS:

(1) To be treated with consideration, respect, and full recognition of personal dignity and individuality.

(2) To receive care, treatment, and services that are adequate and appropriate, and in compliance with relevant federal and State statutes and rules.

(3) To receive at the time of admission and during stay, a written statement of services provided by the facility, including those required to be offered on an as needed basis, and of related charges. Charges for services not covered under Medicare and Medicaid shall be specified. The patient will sign a written receipt upon receiving the above information.

(4) To have on file physician’s orders with proposed schedule of medical treatment. Written, signed evidence of prior informed consent to participation in experimental research shall be in patient’s file.

(5) To receive respect and privacy in his medical care program. All personal and medical records are confidential.

(6) To be free of mental and physical abuse. Except in emergencies, to be free of chemical and physical restraint unless authorized for a specified period of time by a physician according to clear and indicated medical need.

(7) To receive from the administration or staff of the facility a reasonable response to all requests.

(8) To associate and communicate privately and without restriction with persons and groups of the patient’s choice at any reasonable hour. To send and receive mail promptly and unopened. To have access to a telephone where the patient may speak privately. To have access to writing instruments, stationary and postage.

(9) To manage his/her own financial affairs unless other legal arrangements have been implemented. The facility may also assist the patient but is required to follow stringent guidelines.

(10) To have privacy in visits by the patient’s spouse, and if both are patients in the same facility, they shall be given the opportunity, where feasible, to share a room.

(11) To enjoy privacy in his/her room.

(12) To present grievances and recommend changes in policies and services personally, through other persons or in combination with others, without fear of reprisal, restraint, interference, coercion, or discrimination.

(13) To not be required to perform services for the facility without personal consent and the written approval of the attending physician.

(14) To retain, to secure storage for, and to use his personal clothing and possessions, where reasonable.

(15) To not be transferred or discharged from a facility except for medical, financial, or their own or other patient’s welfare, nonpayment for the stay or when mandated by Medicare or Medicaid. Any such transfer shall require at least five days’ notice, unless the attending physician orders immediate transfer, which shall be documented in the patient’s medical record.

(16) To be notified within ten days after the facility’s license is revoked or made provisional. The responsible party or guardian must be notified as well.