

Appendix C:

**Respectful Management of Serious Clinical Adverse Events:
Disclosure Culture Assessment Tool**

	Element**	Y	Y/N	N
Internal Culture of Safety	The organization, board, and leadership are grounded in the core values of compassion and respect, and the responsibility to always tell the truth.			
	Harm is seen as the failure of systems and not people, and is considered in a fair and just culture with policies and practices.			
Malpractice Carrier	There is a commitment to rapid disclosure, compensation, and support.			
	There is a written understanding of how cases will be managed with carrier.			
	Mechanisms are in place for rapid, respectful resolution.			
Policies, Guidelines, Procedures, Practices	There is a policy on patient and family compassionate communications.			
	Informed consent policies and practices are up-to-date and effective.			
	There is a policy on patient and family partnerships.			
	There are policies on disclosure and documentation.			
	There are procedures in place for internal and external communication.			
	Guidelines/policies support a fair and just culture, and reporting of adverse events.			
	Root cause analyses commence immediately, are closely managed with an executive sponsor. Results are shared, including with the patient/family.			
	There is a written crisis management plan. This plan is centrally located.			
	Policies/guidelines exist for reimbursement of out-of-pocket expenses.			
Training	Training programs are in place for all staff on communication, expectations, policies, procedures, guidelines.			
	There is just-in-time coaching (training) for disclosures.			
Disclosure Processes	There is rapid notification of patient/family and activation of support—typically, the organization shares what is known about the event.			
	There is a team to support staff in preparing for disclosure.			
The Disclosure	The organization is transparent and honest.			
	Responsibility is taken.			
	We are empathetic, apologize and/or acknowledge.			
	There is a commitment to providing follow-up information.			
	The caregiver is supported throughout the process.			
	Ongoing support is provided for the patient and family.			

(continued on next page)

Appendix C. Respectful Management of Serious Clinical Adverse Events: Disclosure Culture Assessment Tool (continued)

Element**		Y	Y/N	N
Ongoing Support	Resources are available to assist families experiencing unanticipated outcomes—support is defined by the patient and family.			
	Resources are available to assist staff at the front line of unanticipated outcomes—support is defined by needs of the clinician.			
	Procedures are in place and are known to ensure ongoing communications with patients, families, and staff over months and possibly years.			
Resolution	Procedures are in place and are known to bring the case to closure respectfully, as viewed by the patient and family.			
Learning	Mechanisms are in place to ensure learning by the board, executive leadership, Medical Staff Executive Committee, and across the organization.			
	Measurement systems are in place to assess the impact of communication, disclosure, and support on premiums, claims, cases, and payments.			

**Adapted from Medically Induced Trauma Support Services (MITSS)

For more information, the Institute for Healthcare Improvement Disclosure Toolkit and Disclosure Culture Assessment Tool is available at: <http://www.ihl.org/knowledge/Pages/Tools/DisclosureToolkitandDisclosureCultureAssessmentTool.aspx>.