

# TOOL 9 - Open Disclosure PROCESS Checklist

July 2016

Patient name: .....		<b>Comment or tick if completed</b>
UMRN: .....		
Date of incident: .....		
<b>1. Incident detection and notification</b>	<input type="checkbox"/> Prompt clinical care to the patient to prevent further harm	
	<input type="checkbox"/> Incident assessed for severity and level of response <input type="checkbox"/> Refer to Table - Criteria for determining the appropriate level <b>Level 1 response</b> (SAC 1 or 2) Level 1 flow chart <b>Level 2 response</b> (SAC 3 or 4) Level 2 flow chart	
	<input type="checkbox"/> Support for staff provided / offered	
	<input type="checkbox"/> Appropriate personnel and authorities notified	
	<input type="checkbox"/> Patient record updated <input type="checkbox"/> Incident recorded in the Incident Management module Safety Learning System	
<b>2. Signalling open disclosure</b>	<input type="checkbox"/> Incident acknowledged to the patient	
	<input type="checkbox"/> Expression of regret, including saying sorry, provided	
	<b>Low level open disclosure responses may conclude at this point and be evaluated.</b>	
	<input type="checkbox"/> Negotiation with the patient on: <ul style="list-style-type: none"> <li><input type="checkbox"/> the formality of open disclosure required</li> <li><input type="checkbox"/> the time and place for open disclosure</li> <li><input type="checkbox"/> who will participate in the open disclosure</li> </ul>	
	<input type="checkbox"/> A health service contact provided to the patient	
	<input type="checkbox"/> Designated patient contact person(s) or appropriate patient support person identified	
	<input type="checkbox"/> Written confirmation provided to the patient	
	<input type="checkbox"/> All relevant documentation filed in the appropriate place	

<b>3. Preparing for open disclosure</b>	<input type="checkbox"/> Inter professional team prepare for open disclosure	
	<input type="checkbox"/> Open disclosure participants agreed	
	<input type="checkbox"/> Individual identified to lead the open disclosure	
	<input type="checkbox"/> Necessary meeting information gathered	
	<input type="checkbox"/> Patient health service contact identified (if not already done at step 2)	
<b>4. Open disclosure discussion</b>	<input type="checkbox"/> Patient provided with the names and roles of all attendees	
	<input type="checkbox"/> A sincere and unprompted apology or expression of regret is provided	
	<input type="checkbox"/> Incident event is clearly explained	
	<input type="checkbox"/> Future care is agreed	
	<input type="checkbox"/> Patient is given an opportunity to tell their story, exchange views and observations and ask questions	
	<input type="checkbox"/> Patient is encouraged to describe the personal effects of the incident	
	<input type="checkbox"/> Open disclosure plan is agreed, recorded and signed	
	<input type="checkbox"/> Patient is assured that they will be informed of further findings and recommendations for system improvement	
	<input type="checkbox"/> Practical and emotional support are offered to the patient	
	<input type="checkbox"/> Staff members are supported	
	<input type="checkbox"/> Agreement to hold follow-up meeting(s) if required	
	<input type="checkbox"/> Meetings documented and filed and patient record updated	
	<input type="checkbox"/> Documentation provided to patient	
<b>5. Follow-up</b>	<input type="checkbox"/> Senior clinicians or management (where appropriate) involved in follow up discussion	
	<input type="checkbox"/> Future care agreed	
	<input type="checkbox"/> Outcomes of investigations and the resulting practice changes shared with patient	
	<input type="checkbox"/> Patient offered the opportunity to discuss the process with another clinician (e.g. a general practitioner)	
	<input type="checkbox"/> Patient record updated and relevant documentation provided to patient	

<b>6. Completing the process</b>	<input type="checkbox"/> Agreement reached between the patient and the clinician, or alternative course of action provided	
	<input type="checkbox"/> Patient provided with final written and verbal communication, including investigation findings	
	<input type="checkbox"/> Details communicated to the patient's primary care provider	
	<input type="checkbox"/> Evaluation surveys offered to patient (or face to face if more appropriate)	
	<input type="checkbox"/> Staff evaluation surveys completed	
	<input type="checkbox"/> Patient record updated including appending completed checklist	
<b>7. Maintaining documentation</b>	<input type="checkbox"/> Keep the patient record up to date	
	<input type="checkbox"/> Maintain a record of the open disclosure process using Safety Learning System Incident Management module	
	<input type="checkbox"/> File documents relating to open disclosure process in patient record	
	<input type="checkbox"/> Provide the patient with documentation throughout the process.	

Print name: \_\_\_\_\_

Title / position: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## For more information

**SA Health**

**Safety and Quality Unit**

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**[www.sahealth.sa.gov.au/safetyandquality](http://www.sahealth.sa.gov.au/safetyandquality)**

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