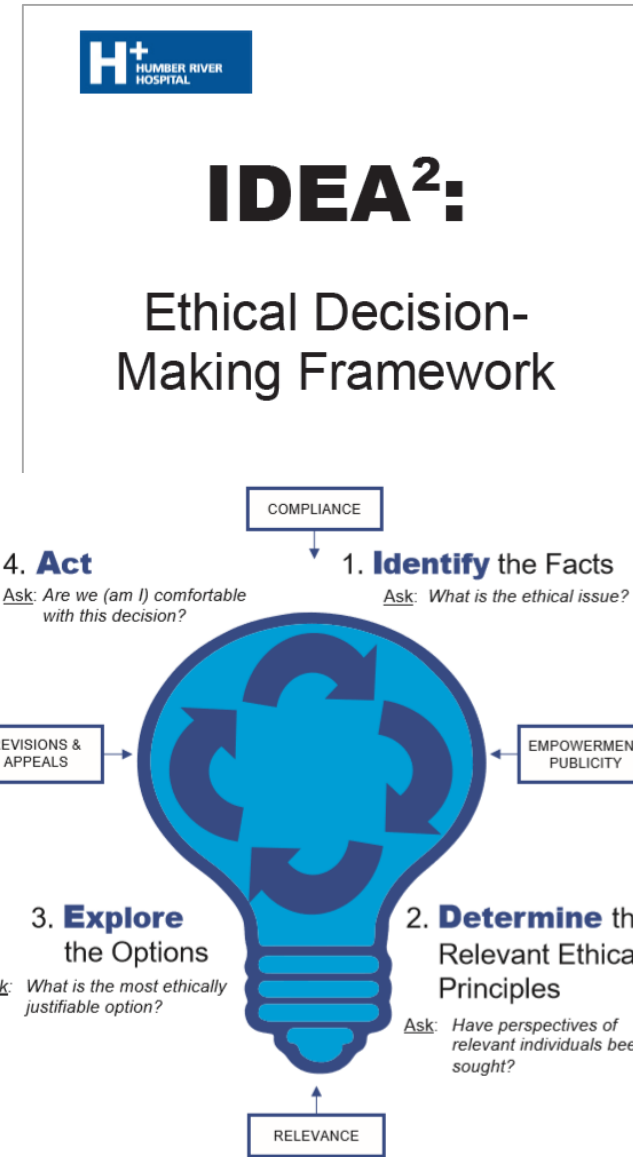
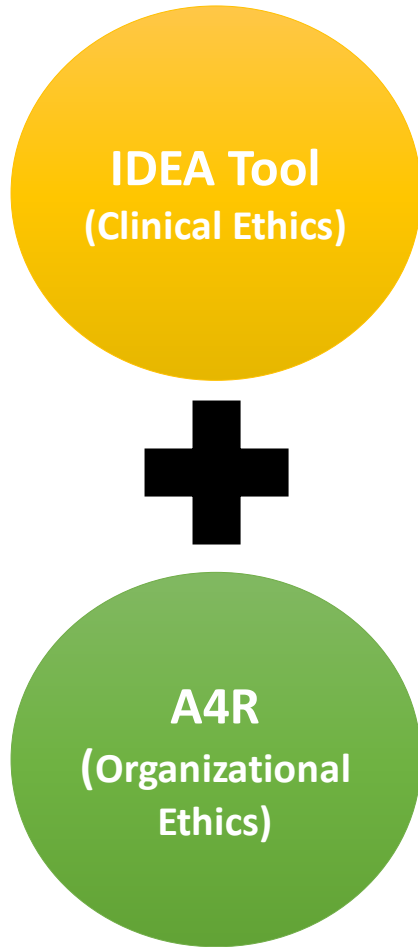


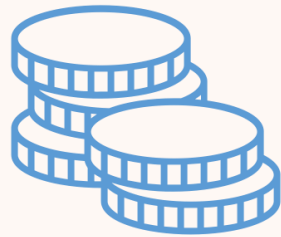
# Ethical Frameworks: A4R and IDEA<sup>2</sup>



# Frameworks



# Two Frameworks: A4R and IDEA



## **A4R**

Resource allocation, priority setting,  
systems-level/policy, Ethics Committee processes



## **IDEA<sup>2</sup>**

clinical deliberations  
Individual cases

# Accountability for reasonableness (A4R)

- First proposed by Harvard's Norman Daniels (political philosopher & ethicist) and James Sabin (psychiatrist & professor of psychiatry) in 1997.
- Daniels and Sabin address negative perceptions of US medical insurers
  - Coverage limits seemed arbitrary
  - Doubts that optimizing health care a fundamental concern
  - Maximizing profits for shareholders assumed to be driving force behind denials.
- Norman Daniels and James Sabin (1997) propose 4 conditions to help legitimize healthcare coverage decision processes.
  - A fifth condition "empowerment" was added in 2005 and figures into the version used at HRH.
- Over the years a growing number of organizations worldwide have adopted A4R to guide decisions related to resource allocation or other kinds of restrictions.

# Conditions

```
graph TD; A[Conditions] --> B[Relevance]; B --> C[Publicity]; C --> D[Revision & Appeals]; D --> E[Empowerment]; E --> F[Enforcement & compliance];
```

Relevance

Publicity

Revision & Appeals

Empowerment

Enforcement & compliance

# Relevance

- Decisions are justified in virtue of evidence and/or principles and values that fair-minded people would agree are relevant.
  - Providing generally understandable reasons helps to build trust. “When reason giving is not standard practice, public accountability – and trust – suffers” (Daniels and Sabin, 1997).
- Example: The Ethics Committee is deciding whether to take up the 100<sup>th</sup> birthday case
  - a) Weak reason: One committee member is an introvert and sees no value in big parties.
  - b) Relevant reason: Respect: Acknowledging other people’s preferences and supporting their right to live in accordance with their own self-selected values. A 100<sup>th</sup> birthday is both rare and a once-in-a-lifetime occurrence.
- Fair-minded people might disagree whether b) is the *most* important consideration, but everyone should be able to appreciate that it is an important consideration.

# Publicity



- Committee activities, reasons for, and outcomes of, decisions should be transparent and accessible to all stakeholders and communicated effectively.
- Full transparency requires the following:
  - **WHERE** is information posted? (effective channels of communication should be selected and future outlets identified)
  - **WHO** will make the decision and **WHO** will be impacted.
  - **WHAT** decision-making criteria will be used and **WHAT** are the decision's consequences for stakeholders?
  - **HOW** will decision-making occur? **HOW** can stakeholders can participate?
  - **WHY** were certain decisions made?

# Revisions and appeals

- Three benefits from providing stakeholders with avenues of appeal:
  - Confers legitimacy. Without the ability to appeal a decision, people are apt to suspect unpopular decisions are unfair or arbitrary.
  - Those who register a dispute are informed of the rationale for the decision and must engage with the actual reasons behind decision-making in order to form a counterargument.
  - Provides feedback to help tweak the system we've set up.
- Visitor restrictions during COVID appeals process.
  - Taught us about the kinds of cases where restricting visitors did more harm than good (end of life, women giving birth, feeding cases)
  - New evidence provides opportunity to revise policy to insure control measures are proportionate to risks.



# Empowerment

- Driven by a concern for equity or leveling the playing field for all participants.
- Also, people affected by a decision will tend to view the process as unfair if they were shut out of the process and not consulted along the way.
- It is important to recognize power differences that can quell feedback from participants lower on workplace hierarchies and support participation.
  - i.e. frontline staff might be reluctant to express an opinion contrary to their senior leaders, or even to bring cases forward to the ethics committee because they're sure they won't be taken seriously.
  - In the birthday case, you want to make sure that everyone with a stake in the issue gets to have their say.

# Enforcement and compliance

- A “meta” condition. Some ongoing mechanism to ensure that the previous principles are always being met.
- Can be voluntary adoption of a procedure to policies or enforced by an external agency or government body.
  - i.e., HRH has officially adopted A4R, and Accreditation Canada requires senior leaders employ an ethical framework.

# Case: Charging “no-shows” for scans

- Relevance: Reason for charging: Stewardship (public resources wasted due to no-shows)
- Publicity: Cost for a no-show and methods for cancellation must be clearly communicated to patients. (Posters in offices, clerks to communicate, noted in appointment reminders). Appeals process should also be public and transparent.
- Revision and appeals: If patient has an excellent reason for no-show (unexpected illness or accident) fee can be waived if appealed.
- Empowerment: Consult with stakeholders. Also insure that cancellation process made as simple as possible and accommodates people with disabilities (hearing, vision, cognitive impairment), or people who lack access to technology.
- Enforcement: Implement a process in place to insure that relevance, publicity, empowerment and appeals are consistently guiding process moving forward (i.e. oversight from board of directors or senior management).

# HOW IDEA reinforces A4R

- **Relevance:** By having everyone agree on relevant value/principles and prioritize their importance, relevance is virtually guaranteed.
- **Publicity:** Aims to make moral deliberation a public affair by recommending all stakeholders are consulted. Should result in the production of an informative document that can be easily shared.
- **Revisions and appeals:** IDEA was designed to be a continuous process in which resolutions are continually revisited and evaluated. Avenues to assess the success of a resolution are built into the framework
- **Empowerment:** Insures that stakeholders are given a say in moral deliberation. But making sure they're comfortable sharing their opinion is the job of the
- **Enforcement:** Reviewing cases to insure A4R principles have been met may be useful.



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