

Guide on the decision-making process regarding medical treatment in end-of-life situations[#]

Council of Europe

FOREWORD^a

This guide was drawn up by the Committee on Bioethics (DH-BIO) of the Council of Europe in the course of its work on patients' rights and with the intention of facilitating the implementation of the principles enshrined in the Convention on Human Rights and Bio-medicine (Oviedo Convention, ETS No. 164, 1997).

When drafting the guide the DH-BIO relied in particular on the results of a symposium on the decision-making process regarding medical treatment in end-of-life situations, held by the Steering Committee on Bioethics (CDBI)^b on 30 November and 1 December 2010.

The co-ordination of this event was entrusted to the Chair of the CDBI, Ms Isabelle Erny (France). For the preparation of the symposium, the CDBI was able to draw on two reports – one by Professor Lucie HACPILLE (France) on “Medical decisions in end-of-life situations and the ethical implications of the available options” and the other by Professor Roberto ANDORNO (Switzerland) entitled “Previously expressed wishes relating to health care – Common principles and differing rules in national legal systems”.

A follow-up group was appointed to prepare a draft guide on support for the decision-making process based on the results of the symposium. The group, chaired by Ms Isabelle Erny, comprised Dr Béatrice IOAN (Romania), Professor Andréas VALENTIN (Austria) and the symposium general rapporteur, Professor Régis AUBRY (France).

In December 2012, the DH-BIO agreed to publish for consultation the draft guide prepared by the follow-up group. The public consultation ran from February to April 2013 and allowed comments to be collected from representatives of the various sectors concerned (particularly patients, health professionals, bioethics experts and human rights lawyers).

The version of the draft guide revised to take account of the comments received was approved by the DH-BIO at its 4th plenary meeting (26-28 November 2013). It was sent to the Steering Committee for Human Rights (CDDH) which took note of it and then sent it to the Committee of Ministers of the Council of Europe for information.

CHAPTER 1

Introduction

Progress in the health field and advances in medicine – particularly developments in medical technology – enable life to be prolonged and increase prospects of survival. By turning what used to be regarded as acute or rapid progression illnesses into chronic or slow progression illnesses, they give rise to complex situations and are unquestionably rekindling the debate on the end of life and the framework in which decisions are taken on medical treatment in end-of-life situations.

The end of life and the questions it raises in terms of dignity of the person is one of the current concerns of Council of Europe member states^c, despite variations in cultural and societal approaches. The principles established by the Convention for the Protection of Human

[#] Council of Europe. Guide on the decision-making process regarding medical treatment in end-of-life situations. Council of Europe; 2014. Disponível em: http://www.coe.int/t/dg3/healthbioethic/Activities/09_End%20of%20Life/default_en.asp. Documento publicado sob autorização do Council of Europe.

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a. The opinions expressed in this work are the responsibility of the authors and do not necessarily reflect the official policy of the Council of Europe.

b. In 2012, following a reorganisation of intergovernmental structures, the Steering Committee on Bioethics (CDBI) became the Committee on Bioethics (DH-BIO). The DH-BIO is a subordinate committee of the Steering Committee for Human Rights (CDDH).

c. The Council of Europe is an intergovernmental organisation currently comprising 47 member states including the 28 European Union states; its role is to safeguard and foster the ideals and principles which are its member states' common heritage: democracy, human rights and the rule of law.

Rights and Fundamental Freedoms^d, and more specifically by the Convention for the Protection of Human Rights and Dignity of the Human Being with regard to the Application of Biology and Medicine^e, form an ethical and legal frame of reference through which member states endeavour to find common, co-ordinated responses to the questions which arise in society, with the aim of ensuring that human dignity is protected.

These provisions, based on shared values, can be applied to end-of-life situations dealt with through medical care and health systems, and some even provide direct responses to such situations (see for example, Article 9 of the Convention on Human Rights and Biomedicine, relating to previously expressed wishes).

Purpose

This guide presents, in an informative, summarised form, the principles that can be applied to the decision-making process regarding medical treatment in specific end-of-life situations. The intention is for these principles to be applied regardless of the distinct legal framework in each state. The guide is aimed primarily at the healthcare professionals concerned, but it is also a potential source of information and a basis for discussion for patients, their family and close friends, all those providing support, and associations dealing with end-of-life situations. Some elements in this guide could also serve as material for many current debates on end-of-life issues.

The aims of this guide are as follows:

- *to propose reference points* for the implementation of the decision-making process regarding medical treatment in end-of-life situations. Among other things, these should make it possible to identify the parties involved in the process, the different stages of the process, and the factual elements that influence decisions;

- *to bring together both normative and ethical reference works* and elements relating to good medical practice, which will be useful for health professionals dealing with the implementation of the decision-making process regarding medical treatment in end-of-life situations. The guide may also provide reference points for patients and their close friends, families or representatives to help

them understand the issues involved and hence take an appropriate part in the process;

- *to contribute, through the clarification it provides, to the overall discussion* on the decision-making process in end-of-life situations, particularly the complex circumstances encountered in this context, as it creates an opportunity to outline a number of issues and debates to which different European countries sometimes provide a diverse range of responses (see the boxes throughout the text).

The aim of this guide is not to take a position on the relevance or legitimacy of one decision or another in a given clinical situation. There is no doubt, however, that the impact of the expected decision adds to the complexity of the situation.

It relates to the specific context of the end of life, a situation in which the main purpose of any medical treatment is palliative, focusing on the quality of life or, at the very least, the control of symptoms that are liable to impair the quality of the end of a patient's life.

Furthermore, while the main thread of any discussion on decisions regarding medical treatment must be respect for the individual's dignity and autonomy, clinical experience shows that at the end of life patients may be vulnerable and find it difficult to express opinions. In addition, there are situations in which decisions are sometimes taken when patients are no longer able to express their wishes. Lastly, in certain cases, patients may express, entirely of their own accord, the legitimate wish not to take decisions on their medical treatment.

At all events, in uncertain and complex situations like those generated by the end of life, decisions should be the culmination of a proactive, collective process ensuring that patients are placed at the centre of decisions, carrying out as far as possible what would have been their wishes had they been able to express them, avoiding the biases of inevitable subjectivity and allowing as far as possible for treatment to be adjusted in line with the patient's changing state.

Scope

The elements below focus very specifically on the following points:

d. European Convention on Human Rights, ETS No. 5.

e. Convention on Human Rights and Biomedicine (ETS No. 164), adopted in 1996 and opened for signature in Oviedo (Spain) in 1997 (Oviedo Convention).

- the *decision-making process* and not the content of decisions (where certain types of decision are presented, it is simply to illustrate arguments relating to the process);

- the decision-making process as it applies to *end-of-life situations*;

- the decision-making process *regarding medical treatment*, including its implementation, modification, adaptation, limitation or withdrawal.

For the purposes of this guide, end-of-life situations are understood as those in which a severe deterioration in health, due to the evolution of a disease or another cause, threatens the life of a person irreversibly in the near future.

NB. It should be noted that this guide, which focuses on the decision-making process, does not address the issues of euthanasia or assisted suicide, which some national legislations authorise and regulate through specific rules.

The aspects described below apply whatever the place and the conditions in which the end-of-life situation is being dealt with, whether in hospital, in a medico-social establishment such as a retirement home, or at home, and irrespective of the department or ward in which the person is being treated (emergency, intensive care, cancer, etc.). Adjustments are of course required to take account of the constraints which are specific to each individual situation. For example, the question of time scales is important and the process cannot be organised in the same way in an emergency as it would in the context of an anticipated end-of-life situation.

However, due regard must always be shown for the principle that patients' opinions should be sought in the light of the treatment options being considered, and that collective discussion processes become essential when patients are unwilling or unable to take part directly in the decision-making process. The authors of this guide also recognise that specific features can make some end-of-life situations particularly complex. It would be worth looking at some of these situations individually so that necessary adjustments to the process can be singled out (for example, end-of-life situations in the neonatal field).

CHAPTER 2

The ethical and legal frames of reference for the decision-making process

The decision-making process regarding medical treatment in end-of-life situations raises questions concerning the main, internationally acknowledged ethical principles, namely *autonomy*, *beneficence*, *non-maleficence* and *justice*. These principles form part of the fundamental rights enshrined in the European Convention on Human Rights and are transposed into the field of medicine and biology by the Convention on Human Rights and Biomedicine. These principles are interrelated and this should be taken into account when considering their application.

A. The principle of autonomy

Respect for autonomy begins with recognition of the legitimate right and the capacity of a person to make personal choices. The principle of autonomy is implemented in particular through the exercise of *free* (without any undue constraints or pressure) and *informed* (following the provision of information appropriate to the proposed action) *consent*. The person may change his or her mind at any time with regard to consent.

Prior information is an essential contributing factor to the exercise of the principle of autonomy. For people to take informed decisions, they must have access to information that is appropriate in terms of content and form. This information should be as complete as possible. Patients must be informed of the purposes and the anticipated risks and benefits of treatment. Moreover, the manner and form in which information is supplied are particularly important and must be suited to the person concerned. In this context it is important to be satisfied that the information provided has really been understood by the patient. The quality of the dialogue between health professionals and patients is thus an essential element for the patient's rights. This dialogue must also make it possible to anticipate possible future decisions in relation to situations that may be encountered, or even arrive suddenly.

The principle of free and informed consent, given prior to any intervention on the person concerned, is closely linked to the right to respect for private life enshrined in Article 8 of the European Convention on Human Rights. The same is true of the patient's consent to have his or her personal data accessed and communicated to third parties under conditions ensuring respect for confidentiality of the data.

This principle and the right to withdraw consent at any time are enshrined in Article 5 of the Convention on Human Rights and Biomedicine. Furthermore, Article 6 of this convention sets out the provisions designed to ensure that particularly vulnerable persons, who are not able to give their consent, are protected.

More specifically and connected directly with end-of-life situations, Article 9 of the Convention on Human Rights and Biomedicine provides for the possibility of people expressing in advance their wishes concerning the end of their lives, in the event that they are no longer able to do so when the decision has to be taken, and the duty of doctors to take account of these wishes when assessing the situation.

An end-of-life situation is very often a moment of high vulnerability in a person's life, which can have a profound impact on the patient's ability to exercise autonomy. Assessing the extent of patients' autonomy and hence their actual ability to be involved in decision making is therefore one of the main issues in the end-of-life decision-making process. Inquiring into patients' desires or previously expressed wishes is therefore an indispensable part of the decision-making process, particularly among patients whose functional capacities have declined to such an extent that their ability to take part in the process is restricted.

Autonomy does not imply the right for the patient to receive every treatment he or she may request, in particular when the treatment concerned is considered inappropriate (see section B.2 below). Indeed, healthcare decisions are the result of a reconciliation between the will of the patient and the assessment of the situation by a professional who is subject to his or her professional obligations and, in particular, those arising

from the principles of beneficence and non-maleficence as well as justice.

B. The principles of beneficence and non-maleficence

The principles of beneficence and non-maleficence refer to the doctor's dual obligation to seek to maximise the potential benefit and to limit as much as possible any harm that might arise from a medical intervention. The balance between benefits and risks of harm is a key aspect of medical ethics. The potential harm may not be only physical but could also be psychological, or take the form of infringement of the individual's privacy.

On a normative level, these principles are reflected in the right to life enshrined in Article 2 of the European Convention on Human Rights and the right to protection from inhuman and degrading treatment established in its Article 3. They also form the basis for the assertion of the primacy of the human being over the sole interest of society or science set out in Article 2 of the Convention on Human Rights and Biomedicine and, more precisely, the obligation to comply with professional obligations and standards laid down in Article 4 of this convention.

More specifically, in application of these principles, doctors must not dispense treatment which is needless or disproportionate in view of the risks and constraints it entails. In other words, they must provide patients with treatment that is proportionate and suited to their situation. They also have a duty to take care of their patients, ease their suffering and provide them with support.

1. The obligation to deliver only appropriate treatment

Without prejudice to respect for the patient's free and informed consent, the first prerequisite for the implementation or continuation of any treatment is a medical indication.

When assessing whether a form of treatment is appropriate in view of the particular situation of the patient concerned, the following issues need to be addressed:

- the benefits, risks and constraints of medical treatment according to the anticipated effects on the patient's health;

- their appraisal in view of the expectations of the person concerned. This results in an assessment of the “overall benefit”, which takes account of the benefit in terms not only of the results of the treatment of the illness or the symptoms but also of the patient’s quality of life and psychological and spiritual well-being.

In some cases, this appraisal leads to the conclusion that the treatment, even in response to a medical condition, is disproportionate when the risks and/or the scale of the constraints and the means required to implement it are compared with the anticipated benefits.

When, in a given situation, the treatment that is being contemplated or implemented will not yield or no longer yields any benefits, or is regarded as being clearly disproportionate, beginning or continuing to implement it can be described as “therapeutic obstinacy” (or unreasonable obstinacy). In such cases, the doctor may legitimately decide, in his or her dialogue with the patient, not to implement the treatment or to withdraw it.

There is no obvious means of measuring whether treatment is disproportionate that would apply to all individual situations. Even though there are medical criteria from evidence-based medicine, which can be used to evaluate risks and benefits, whether or not treatment is proportionate will be assessed in the light of the patient’s situation as a whole. The relationship of trust between doctors, carers and patients is instrumental in the assessment of the proportionality of treatment. Disproportionality of treatment will be defined in particular according to the development of the illness and the patient’s reaction to the treatment; this is what will determine whether the medical indication needs to be called into question. In many cases, the possible disproportionality emerges in the course of the discussion between doctors, carers and patients about the purpose and the expected benefits and potential risks of treatment.

In end-of-life situations, the assessment of “overall benefit” plays a particularly important role in determining the suitability of a treatment whose purpose may change (shifting from a curative to a palliative purpose for example). In these situations, the prolonging of life must not in itself be the sole aim of medical practice, which should attempt just as much to relieve suffering.

The difficulty of any medical decision at the end of life is to ensure that the patient’s autonomy and dignity are respected and that a balance is struck between the protection of life and the person’s right to be relieved of suffering if possible.

2. The concept of needless or disproportionate treatment likely to be limited or withdrawn

In addition to its technical aspect, the care, in its broad sense, administered to patients includes the attention paid by health professionals to any person made vulnerable by illness or by an infringement of physical integrity. The concept of care therefore comprises treatment involving a medical procedure, but also other types of care designed to satisfy patients’ everyday needs and not requiring any particular medical skill (for instance, personal hygiene and comfort).

Treatment, strictly speaking, covers interventions whose aim is to improve a patient’s state of health by acting on the causes of the illness. The goal of such treatment is to cure patients of an illness or to act on its causes in order to reduce its impact on the patient’s health. Treatment also covers interventions which have no bearing on the aetiology of the main illness from which the patient is suffering but on the symptoms (for example, analgesic treatment to alleviate pain) or which are responses to an organ dysfunction (such as dialysis, mechanical ventilation).

It may be decided to withdraw or limit a treatment as specified above, which does not provide any benefit or has become disproportionate. Limitation of treatment can mean both progressively withdrawing it and reducing the doses administered so as to limit side effects and increase beneficial effects.

In end-of-life situations, the purpose of treatment and care is, above all, to improve the patient’s quality of life. This objective may sometimes require certain types of treatment to be implemented or increased; this is especially the case for treating pain or any symptom causing discomfort.

It is also important to bear in mind that while the question of limiting or withdrawing a *treatment* which no longer provides any benefit or has become disproportionate

may be raised in end-of-life situations, there should be no question of discontinuing *care*, including palliative treatment, designed to preserve the patient's quality of life, as this is always necessary, embodying respect for the human person in medical practice.

Disputed issues

The question of limiting, withdrawing or withholding artificial hydration and nutrition

Food and drink given to patients who are still able to eat and drink themselves are external contributions meeting physiological needs, which should always be satisfied. They are essential elements of care which should be provided unless the patient refuses them.

Artificial nutrition and hydration are given to a patient following a medical indication and imply choices concerning medical procedures and devices (perfusion, feeding tubes).

Artificial nutrition and hydration are regarded in a number of countries as forms of treatment, which may therefore be limited or withdrawn in the circumstances and in accordance with the guarantees stipulated for limitation or withdrawal of treatment (refusal of treatment expressed by the patient, refusal of unreasonable obstinacy or disproportionate treatment assessed by the care team and accepted in the framework of a collective procedure). The considerations to be taken into account in this regard are the wishes of the patient and the appropriate nature of the treatment in the situation in question.

In other countries, however, it is considered that artificial nutrition and hydration do not constitute treatment which can be limited or withdrawn, but a form of care meeting the individual's basic needs, which cannot be withdrawn unless the patient, in the terminal phase of an end-of-life situation, has expressed a wish to that effect.

The question of the appropriate nature, in medical terms, of artificial nutrition and hydration in the terminal phase is itself a matter of debate. Some take the view that implementing or continuing artificial hydration and nutrition are necessary for the comfort of a patient in an end-of-life situation. For others, the benefit of artificial hydration and nutrition for the patient in the

terminal phase, taking into account research in palliative care, is questionable.

C. The principle of justice – Equitable access to health care

The right of equitable access to health care of appropriate quality is enshrined in Article 3 of the Convention on Human Rights and Biomedicine. Equity means first and foremost the absence of discrimination, with the requirement for each individual to be able to obtain, in practice, the care available. This principle implies that available resources should be distributed as fairly as possible. It is now generally accepted that palliative care is an integral part of health care, as asserted in Recommendation Rec(2003)24 of the Committee of Ministers of the Council of Europe on the organization of palliative care. In this context, it is therefore for governments to guarantee equitable access to such care for anyone whose state of health requires it.

The explanatory memorandum of the recommendation also points out that “doctors are not obliged to continue treatments that are patently futile and excessively burdensome to the patient”, and that the patient may refuse such treatment. The aim of palliative care is therefore to provide the best possible quality of life for patients. The latter must be offered both active care designed to control pain and other symptoms and provided with the necessary support in coping with their psychological or social problems and, where appropriate, spiritual support. It would also be helpful to provide support for family members who are often under considerable stress.

To meet the challenges posed by end-of-life situations, one of the priorities is most certainly to broaden access to palliative care regardless of how it is organised (specialist services or dedicated beds in establishments, at home, etc.). Steps should be taken at least to foster a palliative approach among health-care professionals and within health-care services so that everyone's suffering can be dealt with satisfactorily without discrimination and that, over and above access to palliative care, respect is shown for human rights, especially each individual's right to choose the place and the conditions of his or her end of life.

CHAPTER 3

The decision-making process

Before describing the different phases of the decision-making process, it is important to specify the different parties involved and their respective roles in the process. Clarifying each individual's role makes it possible, bearing in mind the complexity of certain situations and the related decisions, to avoid stumbling blocks and risks of conflict. The aim of the process must be to reach a consensus once each party involved has put forward his or her point of view and arguments.

A. The parties involved in the decision-making process and their roles

An analysis of the decision-making process shows that, in addition to the patient and his or her doctor, there are other parties that are involved to highly varying degrees. First, there are those close to the patient: people who, in different capacities, will stand in for and represent the patient when he or she wishes or is no longer able to take part in the decision-making process, as well as offering the patient support, such as family, close friends and various other people providing assistance. Then there are all the members of the care team.

The following description of the parties involved in the decision-making process reflects those parties' diverse range of roles (decision maker, legal support, witness, support provider, etc.); it also takes account of the diverse range of national legal situations. It should be noted that on occasion different roles can be performed by the same person (for example, parents can simultaneously be their child's legal representative, etc.).

1. The patient, his or her representative, family members and other support providers

The principal party in the decision-making process with regard to medical treatment in end-of-life situations is the patient himself or herself. Patients may benefit from the presence of their family, close friends or other people in their entourage in so far as they can provide support. When the patient is incapable or no longer capable of making decisions, substitution arrangements

make it possible to ensure that the decisions taken are as close as possible to what he or she would have decided and wished if he or she had been able to take part in the decision-making process, or to ensure that the decision taken will be in the patient's best interests. These arrangements are generally provided for in domestic legislation. When the patient cannot be directly involved in the decision-making process, having a collective discussion meets the requirement for objectivity, which is essential for the patient's protection.

a. Patients

Patients capable of taking part in decision making

If patients are able to take part in the decision-making process, they can draw up a care plan with the doctor and the medical team on the basis of the information and guidance provided by the doctor in the context of the relationship of trust which they have developed. On no account can there be any intervention on the patient without his or her consent, except in emergency situations and provided that the patient has not previously refused the intervention. Accordingly, doctors must accept refusals of treatment clearly expressed by the patient, but may suggest, where possible, that the latter takes time to think and/or consult other people. In all cases, it is appropriate to allow the patient time to think things over before making a decision.

Furthermore, patients who are capable of deciding for themselves may wish nonetheless for other persons to be consulted or to be guided or represented either by a "natural" provider of support (a family member) or by a "designated" person such as a person of trust. They may also, on their own initiative, ask to be assisted in their decision by a collective procedure.

In some especially complex situations, when, for example, a patient requests continuation of treatment which is no longer appropriate or, on the contrary, withdrawal of treatment – such withdrawal having the potential to adversely affect his or her quality of life – it may also be suggested that he or she should seek other people's advice and, in particular, consult other health professionals before a decision is reached.

Patients whose ability to play a full and valid part in the decision-making process is in some doubt

In an end-of-life situation, questions are frequently raised about the patient's ability to play a full and valid part in the decision-making process (for instance, because of developments in certain illnesses affecting the patient's cognitive faculties). In such situations, if there is any doubt about the patient's ability, it must be assessed. The assessment should be assigned, as far as possible, to an impartial assessor, not directly involved in the decision-making process or in the patient's medical care. The assessment of the patient's ability to exercise his or her autonomy should be documented.

Focus on:

Assessing the patient's ability to take medical decisions for himself or herself

To assess a person's degree of ability to take a medical decision for him or herself, it may be useful to take into account the following elements:

– *ability to understand*: patients should be able to understand essential information about the diagnosis and the related treatment and be capable of showing that they understand;

– *ability to appraise*: patients should be able to appraise the situation in which they find themselves, recognise the problem and evaluate the consequences of treatment in their own situation in relation to their own scale of values or view of things;

– *ability to reason*: patients should be able to reason, compare options proposed and weigh up their risks and benefits. This skill depends on the ability to assimilate, analyse and handle information rationally;

– *ability to state a choice*: patients should be able to make a choice, and express and substantiate it.

Apart from situations when a person is totally incapable of expressing a wish (as for example in a vegetative state), even where he or she does not seem capable of expressing free and informed wishes, it is necessary to view that person as a human being in the fullest sense, capable of partly perceiving or understanding what is said and of

participating as much as possible in the decision-making process. It is therefore recommended that he or she be systematically informed and have it spelt out as clearly as possible and in a manner suited to the level of comprehension, what the issues and the potential courses of action are, even though the patient will be covered by legal protection measures. Any opinions and wishes that patients may communicate and the reactions they may have at this point should be taken into account and, as far as possible, guide the decision to be taken concerning them.

Patients who cannot or can no longer participate in the decision-making process

Where patients cannot take part in the decision-making process (due to a coma, brain damage, an advanced-stage degenerative disease, etc.), the decision will be taken by a third party according to the procedures laid down in the relevant national legislation.

Even in situations in which patients cannot take part in the decision, they remain a party in the process. Although unable to express their wishes concerning the arrangements for the end of their lives at the time that the decision must be taken, patients can be involved in the decision-making process nonetheless by means of any *previously expressed wishes*. This expression of the patient's wishes in advance can take various forms. For example, the patient may have confided his or her intentions to a family member, a close friend or a person of trust, appointed as such, so that they can bear witness to and pass on the patient's wishes when the time comes. The patient may also have drawn up advance directives/a living will or granted powers of attorney to a third party, covering exactly the situation for which a decision must be taken.

Focus on:

The formal arrangements for previously expressed wishes

There are various legal arrangements:

– *Formal statements* (or “advance directives”, which are sometimes referred to as “living wills” (see box below)) are written documents drawn up by a person

having legal capacity (who has attained majority and is able to express a free and informed wish) containing provisions relating to medical treatment in the event that he or she is no longer capable of taking part in the decision-making process. The holder or bearer of the statement does not speak on behalf of the person who made the statement.

– *Powers of attorney* on health-care questions enable persons known as granters to appoint persons known as attorneys (who must agree to this role) to express on their behalf their wishes concerning the medical treatment to be given to them if they are no longer capable of taking part in the relevant decision. In French, these powers are sometimes referred to as a *mandat de protection future* (powers of future protection). Any suitable person, who possesses legal capacity, may be appointed, including a family doctor, a family member, a close friend or a person of trust, etc. The attorneys may also clarify ambiguous provisions of formal statements or provide clarification concerning other situations not mentioned in them or arising as the illness progresses. However, attorneys can act only in accordance with their powers and in the granter's interest.

In view of their importance in the decision-making process as a means of ensuring the protection of the patient's wishes, special attention should be paid, in the organization of the health system, to the arrangements for previously expressed wishes regardless of their legal force. This is a means of exercising patients' rights. All health system users and health professionals should be informed of the existence of such possibilities, how they are arranged and what their legal scope is.

A formal, written document appears to be the safest and most reliable way of making known one's wishes expressed in advance. Accordingly, written advance directives are the means that most directly reflect patients' wishes. When they exist, they should take precedence over any other non-medical opinion expressed during the decision-making process (by a person of trust, a family member or a close friend, etc.), subject, of course, to the fulfilment of a certain number of requirements to ensure their validity (authentication of the author, legal capacity of the author, appropriate content, length of

validity, arrangements for them to be redrafted so that they can be kept as closely in line as possible with current developments, possibility for them to be revoked, etc.), and their accessibility (arrangements for them to be kept in such a way that the doctor can access them in good time).

Focus on:

The arrangements for the application of advance directives

- When to draw them up

In principle, advance directives must be drawn up by a person who has attained majority, with the legal capacity and the ability to express his or her wishes concerning the organisation of the end of his or her life. They may for instance be drawn up in anticipation of a potential accident with unforeseeable consequences or in cases of chronic illnesses in which the illness can be apprehended at each stage, neurodegenerative diseases affecting cognitive faculties in a fluctuating manner over time or mental illnesses such as severe depression, which affect patients' will, etc. It can, however, be difficult for a person who is still in good health to envisage in advance illness, dependency and the end of life. This difficulty in anticipating the future may affect the precision of the wishes expressed. Regardless of the legal scope of advance directives in any given legal system, they will always have more weight in the decision-making process if they correspond to the situation encountered and thus have been drawn up in the light of a specific medical context. This is even more the case when the patient is in a position to grasp the consequences of his or her illness.

- Term of validity and periodic renewal

Answers may differ on this point, depending on the pathologies. Periodic renewal of directives and limits on their validity make it possible to keep up with the situation encountered. However, with illnesses in which the patient's cognitive faculties deteriorate progressively over a long period, it must be possible to refer to wishes expressed well in advance, before the patient's cognitive condition is affected to the point that valid restatement

of his or her wishes becomes impossible. When a term of validity is set, the rules should state what must be done when advance directives expire but it has been impossible for the patient to restate his or her wishes. Can they be totally ignored? When all is said and done, they continue to offer an indication of the person's wishes. At all events, it is widely accepted that it should be possible to revoke advance directives.

The need for formalism

The need for something written which makes it possible to authenticate a document is an undisputed requirement. Furthermore, the more binding force the legal rules assign to advance directives, the stricter it appears they must be about the way in which directives are expressed: validation by the doctor (attesting the patient's mental state and the reliability of the instructions) and countersignature by two witnesses, etc. Another issue concerns the arrangements for keeping the document depending on the legal force of the advance directives: should it be kept by the patient or entrusted to the doctor in attendance, the hospital authorities, a legal professional, such as a solicitor, or the patient's person of trust, and should it be recorded in a national register?

In any case, from a formal viewpoint, either advance directives are seen as a clinical tool, stemming from the doctor-patient relationship and contributing to a decision-making process which shows respect for patients, or they are viewed as an administrative document which, provided the validity criteria are met, is binding on the doctor. Between these two schematic viewpoints, there is a whole range of intermediate situations. At all events, advance directives might be regarded as an instrument conducive to dialogue between the patient and the doctor or the medical team; this would make them a substantial contributing factor to the framing of the decision in the context of the collective discussion process.

The legal status and binding force of advance directives vary, and are still highly disputed issues. However, the importance of arrangements such as advance directives should be brought to the attention of health-care professionals, and doctors in particular. When drawn up with the assistance of a doctor, they make it possible to

anticipate the decisions to be made, bearing in mind the evolution of the illness and the various options which will arise. Their value, both for patients and for doctors, is obvious in certain chronic and degenerative illnesses. This aspect should be included in the training given to doctors and health-care professionals.

Disputed issues

- Limits and contents of advance directives

Can advance directives relate to a request to limit or cease treatment in certain predetermined situations, or should they relate only to choices of types of treatment to be implemented? Besides treatment, should they address other questions relating to the organisation of care and the patient's living conditions? More generally, must they be specific and precise, or general in scope? Both propositions have pitfalls: if they are too precise, they leave no room for any medical interpretation with a view to adaptation, whereas if they are too general, they make it impossible to be certain that the wish expressed will have anything to do with the clinical situation. In any case, advance directives may only relate to possibilities authorised by the law.

- The legal status of advance directives varies considerably according to each country's relevant statutory provisions

The Convention on Human Rights and Biomedicine requires doctors to "take into account" previously expressed wishes (Article 9). States then have the choice whether or not to give previously expressed wishes binding force. The Committee of Ministers of the Council of Europe attaches major importance to such wishes and in its Recommendation CM/Rec(2009)11 on principles concerning continuing powers of attorney and advance directives for incapacity, it recommends that member States "promote self-determination for capable adults in the event of their future incapacity, by means of continuing powers of attorney and advance directives". It also stipulates that "States should decide to what extent advance directives should have binding effect" and points out that "advance directives which do not have

binding effect should be treated as statements of wishes to be given due respect”.

In the debate on the extent to which advance directives should be binding, some argue that giving them binding force places all the responsibility for the decision on the patient whereas under arrangements in which they are not binding, doctors assume responsibility for the decision. Others argue that advance directives reflect the will of the person at the time that they are written and cannot anticipate how this may change as the illness develops – changes of mind of this sort are seen in people who are still capable of expressing their views.

It should be noted that even in countries which explicitly recognise the binding force of advance directives, there is broad acceptance that there may be certain reasons authorising doctors not to follow the patient’s wishes. For example, when they have been formulated several years before the onset of the incapacity or where there have been significant medical advances since the date when the advance directives were drawn up which have a direct impact on their content.

b. The legal representative

When the patient is not able to give full and valid consent to a medical intervention because of his or her age (being a minor), mental disability, disease or for similar reasons, the law ensures his or her protection by appointing a representative. A distinction should be made between the legal representative, whose nature (physical person, institution, authority) and role are determined by national law, and other persons appointed by the patient to act on his or her behalf in the decision-making process, such as persons of trust. A distinction should also be drawn between the legal representative and the attorney, who acts on behalf of the patient at the latter’s request, in strict compliance with the powers assigned to him or her (see paragraph c. Attorney below).

In some legal systems, legal representatives have a decision-making role. They may grant authorisation to carry out a medical intervention on a legally protected person, either in the general framework of their role or within the limits specified by a judge. In all cases, the

legal representative can act only in the interests of the protected person.

Whatever the legal system, in accordance with the principle of respect for the person’s dignity, the fact that there is a legal representative should not exempt the doctor from involving the patient in the decision-making process, if the latter, despite lacking legal capacity, is able to participate him or herself.

It is widely accepted that the objection of persons who lack the legal capacity to give their free and informed consent to a medical intervention should always be taken into account.

In the case of minors, their opinion shall be viewed as an increasingly decisive factor, in proportion to their age and their capacity for discernment.

c. Attorney

The patient may have been able to express his or her end-of-life wishes to a third party under a power of attorney, the scope of which may cover more than decisions regarding medical treatment (relating also to property, place of residence or accommodation, etc.). Attorneys act for the patient in accordance with the powers assigned to them. They transmit the person’s wishes to the care team and ensure that they are taken into account.

d. Person of trust

The definition and role of the person of trust (sometimes referred to as “personal advocate” or “surrogate”) may vary according to national legislation. However, the notion of “person of trust” refers to persons chosen and expressly designated as such by the patient. They are generally to be differentiated from legal representatives and attorneys. Their role is to assist and support the patient throughout the latter’s illness. When the patient is no longer able to express his or her wishes, the person of trust may bear witness to what those wishes would be. Persons of trust may also be entrusted with advance directives and disclose them to the doctor at the appropriate time.

e. Family members and close friends

Notwithstanding the duties of legal representative which the legal apparatus may assign to certain family

members (for example, parents are the legal representatives of their minor children, or a person may be the legal representative of his or her partner), the role of the family may vary from country to country and according to the social and cultural context. The same applies to persons who are “close” to the patient and have friendly or emotional ties with him or her of such a nature that they may be closer still to the patient than his or her family. Sometimes, moreover, patients will choose a person from among this circle of close friends to act as their person of trust, either because their family ties have loosened or because they want to relieve their family members of a burden.

The role both of the family and of close friends may also vary depending on the place where the patient is cared for (for example, patients at home are closer to their entourage).

Be that as it may, even where they have no legally defined role in the decision-making process, consultation with family members and close friends, albeit subject in principle to the patient’s consent, is especially important in view of their emotional ties and intimacy with the patient.

Experience has shown however that, within the same family, approaches to the end of life can be very different and that it may be difficult for the care team to deal with family conflicts. In such situations, the existence of previously expressed wishes, formalised in writing, especially advance directives, or the appointment of a person of trust or power of attorney, can be helpful.

f. Other support providers

As to the various other support providers (such as members of associations, volunteers, etc.), in principle, over and above the support that they provide to the person, these parties, who are not members of the group providing care, even in the broad sense, do not intervene in the collective decision-making process. However, these different support providers may possess information (on existing advance directives, on the patient’s wishes, about his or her living environment, etc.). As such, they may be considered as witnesses to the patient’s wishes or as a source of information, and it is certainly useful

and sometimes essential to consult them. While they are not involved in the decision-making process, their presence often makes it possible to offer patients human or spiritual support, which should not be neglected at this moment in their lives.

2. Carers

a. The doctor

Because of their ability to appraise the patient’s situation from a medical viewpoint and because of their professional responsibilities, doctors have a major, if not primary role in the decision-making process. They provide patients or other persons involved in the decision-making process with the necessary medical information.

They prepare, with the patients, care and treatment plans. Where the patient is capable of expressing free and informed wishes, they can help him or her to take decisions. Where patients are not or no longer able to express their wishes, doctors are the people who, ultimately, at the end of the collective decision-making process, having involved all the health-care professionals concerned, will take the clinical decision guided by the best interests of the patient. To this end, they will have taken note of all the relevant elements (consultation of family members, close friends, the person of trust, etc.) and taken into account any previously expressed wishes. However, it should be noted that in some countries this role of final decision maker, in cases where the patient cannot be involved in the process, does not fall to doctors, but is assigned to a third party (for example, the legal representative). Nonetheless, in all cases, doctors are the ones to ensure that the decision-making process is properly conducted and, in particular, that any wishes expressed previously by the patient are taken into account and any treatment that is needless or disproportionate is avoided.

b. The care team

This is the team taking care of the patient and includes nurses, care assistants and, where appropriate, psychologists, members of the paramedical professions, such as physiotherapists, etc. The role of each member of the care team in the decision-making process may vary according to the country. In any case, the role of

each member must be determined in the framework of the decision-making process. These professionals, who take care of the patient on a daily basis and are often close to him or her, contribute to the decision-making process not only by providing medical information but also crucial details concerning patients, such as information on their living environment, their background and their beliefs.

The care team can also be taken to mean something broader, including all the people involved in the overall care of the patient. For instance, because of their knowledge of people's material, family and emotional environment, social workers may have access to information that can be used to assess patients' situations (such as means of judging whether it is possible for them to return home), which are not necessarily available to health professionals.

c. Other bodies potentially involved in the decision-making process

In a situation of uncertainty, a *clinical ethics committee* may become involved in order to assist, by means of ethical opinions, in the discussions that take place as part of the decision-making process. Depending on the arrangements made, such committees may be involved in the process either systematically or on request (from the medical team, the patient or the patient's entourage).

Bearing in mind the complexity of end-of-life situations, there may be a risk of conflicts between the different parties over acceptable solutions (among members of the care team, within the family, etc.). It may prove necessary to turn to a third party such as a specialist body fulfilling a mediation role. Furthermore, some legal systems provide for the intervention of a court.

B. The deliberative process and decision making

For the purposes of the discussion, this chapter takes the highly schematic approach of identifying a number of phases, taking into account the nature and aims of the activities being carried out, the parties involved and the setting in which the end-of-life situation occurs (home, hospital or elsewhere).

This succession of phases does not necessarily represent a chronological sequence, which it is absolutely essential to follow. The main point is to make it possible to identify the key components of the decision-making process while also taking account of the time constraints that can exist in some specific clinical situations.

NB. The subject of this chapter is the decision-making process itself. As pointed out at the beginning of the guide, its aim is not to discuss the content, the relevance or the legitimacy of the decision which will ultimately be taken in a given clinical situation.

1. Preliminary remarks

Before looking at the various phases of the decision-making process in detail, we should reiterate the following points:

- *The patient should always be at the centre of any decision-making process.* This holds true whatever the patient's legal capacity or his or her de facto ability to take the decision or participate in it. In principle, patients are the parties who must decide on and make choices concerning the end of their lives. Their direct involvement may vary, however, depending on their personal situation, which can be affected to varying degrees by their state of health, in which case the decision-making process can be adjusted accordingly.

- *The decision-making process takes on a collective dimension when the patient is not willing or able to participate in it directly.* Where patients do not wish, cannot or are no longer able to take part in the decision-making process or express the need to be assisted in the process themselves, a collective decision-making process should:

- provide safeguards when the decision is taken by a third party;
- furthermore be suited to the situations and complex choices arising from an end-of-life situation.

- *In principle, the collective decision-making process in end-of-life situations is made up of three main stages:*

- an *individual* stage: each party in the decision-making process forms his or her arguments on the basis of information gathered on the patient and the illness;

- a *collective* stage: the various parties – family, close friends and health-care professionals – take part

in exchanges and discussions, providing different perspectives and complementary viewpoints;

- a *concluding* stage: when the actual decision is taken.

- *Patients and, where appropriate, any other people concerned* (legal representatives, attorneys and persons of trust or even their family members and close friends), *must always have access to the information corresponding to their role in the decision-making process.* Unless they specify otherwise, patients must always be given the requisite information on their state of health (diagnosis, prognosis), the therapeutic indications and possible types of care.

2. Different phases of the decision-making processes in end-of-life situations: description and analysis

a. The starting point of the process

The starting point of the process is the same as for any other situation requiring a decision on therapeutic or care options. First a medical indication is to be defined and then the balance is to be assessed between the risks and benefits of the treatments considered, irrespective of the curative or palliative nature of the care plan. The decision-making process is thus initiated by:

- the care team, which regularly assesses whether any treatment already set up or planned meets the requirement of being beneficial to the patient (for example, relieving or reducing suffering) and not harming him or her;

- any of the members of the care team expressing doubts about the therapeutic approach adopted or planned in view of the patient's specific situation;

- any comment or complaint made by the patient, his or her representative or person of trust, a member of his or her entourage (family, close friends, support providers), raising questions about the established care plan.

b. Definition of the problem

If any concerns have been expressed by one of the parties involved about the care and/or the support being provided, it is often important to clarify the underlying questions, to determine precisely where the problem lies

and to elucidate its causes, taking into account the particular situation of the patient.

Questions can relate to any of the following matters:

- the appropriateness of implementing or continuing or, conversely, limiting or withdrawing treatment which is likely to have an impact on the quality of the patient's life in its very last phase, or on the process of dying;

- the meaning of a complaint or request (for example, pain-related complaints or requests for pain relief). It is important to interpret any fears and expectations expressed and decipher those elements, which might influence future treatment choices or reflect poor management of symptoms of distress (such as pain);

- differing opinions among the parties concerned about the patient's quality of life, the need to control certain symptoms or other matters.

c. Developing a line of argument

This phase is important in the framework of a collective process where the patient cannot take part in the decision-making process or has requested help with it. In principle, the doctor and the care team, in a broad sense, intervene in the decision-making process and, where appropriate, and the patient cannot, the patient's legal representative. Previously expressed wishes (such as advance directives and powers of attorney) are of course sought out and taken into account. Family members, close friends and other support providers are consulted, unless a prior objection has been expressed by the patient.

Establishing an individual line of argument

Each party in the collective procedure must be aware of his or her role and in which capacity he or she intervenes in the process. Every professional involved in this process takes responsibility for his or her actions, whatever his or her position in the team.

Each party must analyse his or her motivations (for example in the light of his or her professional practice), bear in mind that some of his or her reasoning may be subjective (deriving from personal experience, ideas and outlooks) as well as being influenced by his or her personal points of reference (ethical, philosophical, religious, etc.) and try to be as objective as possible.

Each party must base his or her arguments on factual elements when analysing the issues. The factual elements of the argument are to be identified at not less than three levels concerning:

- the disease and medical condition: diagnosis, prognosis, emergency, treatment plan, possibility of improvement, etc.;

- the patient's situation: assessment of his or her ability to participate in the decision-making process, legal status, sources of information about his or her wishes, quality of life and personal points of reference, the people/environment around him or her, his or her living conditions;

- health-care provision, what kind of care the health-care system can provide.

Collective discussion

While there can be no standard model since arrangements vary, in particular according to the care setting (hospital or home), the following steps are recommended prior to the exchanges and discussion:

- define the practical arrangements for the discussion (venue, number of participants, number of meetings planned, etc.);

- set a time frame while catering for an emergency response where necessary;

- identify who will take part in the discussion, specifying their role and obligations (decision maker, rapporteur, minute taker, co-ordinator/moderator, etc.);

- draw the attention of all participants to the fact that they must be prepared to change their minds when they have heard the views of the other people taking part in the discussion. In addition, everyone must be aware that the final view or opinion will not necessarily be in accordance with his or her own.

During the collective discussion, the way in which account is taken of the various opinions expressed should not be affected by any hierarchical relationships that may exist between the discussion partners or by any predetermined scale of values.

It is the nature of the arguments expressed which must give rise to a hierarchical ranking process facilitating decision making.

These requirements may prove too exacting in the context of care provision in the home – the collective procedure could in practice be just a joint meeting between the general practitioner, the nurse and the family carer.

Sometimes, where positions diverge significantly or the question is highly complex or specific, there may be a need to make provision to consult third parties either to contribute to the debate, to overcome a problem or to resolve a conflict. The consultation of a clinical ethics committee which could provide complementary insight may, for example, be appropriate. At the end of the collective discussion, agreement must be reached. This agreement is often found where the different opinions expressed intersect. A conclusion must be drawn and validated collectively, and then formalised in writing.

NB. The effect of the decision will need to be taken into account and anticipated as much as possible by considering in particular what additional measures will be needed in the event that the decision taken has an unexpected result.

d. Taking a decision

In all cases, prior identification of the person who will take the decision is necessary.

If the person deciding is the patient but, despite being able to take an autonomous decision, has nevertheless expressed the wish for a collective discussion:

- the conclusions of the discussion must be communicated to him or her with tact and restraint;

- patients must be allowed enough time to reach a decision.

NB. These factors are also relevant if the decision is taken by the legal representative or the patient's attorney.

If the decision is taken by the doctor in charge of the patient, it is taken on the basis of the conclusions of the collective discussion and will be announced:

- where appropriate, to the patient;

- to the person of trust and/or the entourage of the patient if he or she has so requested or is not able to express his or her will;

- to the medical team that took part in the discussion and cares for the patient;

- to third parties concerned who have taken part in the process in any capacity.

Once reached, the decision should be, as far as possible:

- formalised (a written summary of the justifications agreed), and include, where appropriate, the reasons why the advance directives have not been followed;

- kept in an identified place (such as the patient's medical records), meeting the conditions both for the medical data to remain confidential and for the medical team to have the necessary access to be able to review its conduct of the discussion and decision-making processes;

At all events, all decisions are covered by medical confidentiality.

Disputed issues

Decision on sedation for distress in the terminal phase

Sedation seeks, by means of appropriate medication, to reduce awareness to a degree which may extend to loss of consciousness. Its aim is to alleviate or remove the patient's perception of an unbearable situation (such as unbearable pain or unappeasable suffering) when every available treatment adapted to this situation has been offered and/or dispensed but has failed to bring the expected relief. The aim of sedation is not, therefore, to shorten life.

Nonetheless, the debate focuses on two points:

- use of sedation not to relieve physical symptoms (such as dyspnoea), but to alleviate psychological or existential suffering

If a patient's symptoms seem to be under control, but he or she continues to maintain that the suffering is unbearable and that he or she would like to be given sedation, how should the team deal with this request? Continuous deep sedation can lead to a loss of consciousness which could be irreversible and prevent the person from communicating with his or her family and friends. This could raise ethical discussions within the care team and with family members

- use of sedation with the secondary risk of shortening the time left to live

Even though this is not its purpose, sedation can have a side effect in certain cases of accelerating the process of

dying. There is much debate about the use of continuous deep sedation in the terminal phase up to the person's death, if in addition it is in conjunction with the cessation of all treatment.

For some, this result in itself poses a problem, particularly if the person cannot participate in the decision-making process (for example, brain-damaged patients). For others, the decision is acceptable provided that the main intention is not to hasten the onset of the end of life but to relieve suffering.

e. Evaluation of the decision-making process after its application

Ex-post evaluation is one of the general principles of good practice. Evaluation of the decision-making process and the way it took place is particularly important in that it allows the medical team, based on its experience, to progress and better respond to similar situations.

For this purpose, keeping a concise yet accurate written record of the way in which the decision-making process was conducted in the case in question may be very useful to the team concerned. The aim is not, of course, to establish an instrument to monitor decision making retrospectively. This ex-post review of the implementation of the decision-making process should enable all parties involved and the team as a whole to understand on what basis the medical decision was taken and what the contentious issues were, and to enhance its own understanding of such situations in the future.

CHAPTER 4

Conclusions

Paying particular attention to the decision-making process regarding medical treatment at the end of life is a form of quality procedure, the main aim of which is to guarantee respect for patients who may be particularly vulnerable in an end-of-life situation.

In this context, it is essential to promote any measure that makes it possible to adhere as closely as possible to the patient's wishes, which can be expressed

either by the patient him or herself or by means of advance directives.

The collective discussion process relates to the complex clinical situations in which patients find themselves at the end of life. In such situations, in which many ethical issues are raised, there is a need to discuss and compare arguments to enhance the response and formulate a decision that is geared to the situation and shows due respect for the patient.

Committee of Ministers Recommendation Rec(2003)24 on the organisation of palliative care, cited above, alerts states to the need to provide information and training, and conduct research in various issues relating to the end of life.

The decision-making process should in itself be the subject of:

- *information* for users of the health system, including their representatives from associations and their families. This information should relate to the tools enabling or facilitating dialogue between patients and doctors such as advance directives, the appointment of a person of trust and everyone's role and responsibility in the decision-making process in end-of-life situations;

- *training* for health professionals. In addition to specific end-of-life-related questions, training in the construction of individual thought processes and collective

discussion is necessary so that each health professional can deal with the increasing frequency of complex situations involving many ethical issues in clinical practice. In both initial and in-service training contexts, the focus should be on the importance of learning such collective processes. The training could also be extended to the other professionals delivering care to persons in end-of-life situations (for example psychologists, social workers, chaplains);

- *specific studies*, taking into account the complexity and singularity of the situations encountered which are often the result of advances in medicine and medical techniques. These studies on decision-making processes should foster interdisciplinary approaches combining human sciences and medicine.

The purpose of this guide is to serve as a useful tool for informing the public and training professionals. It is aimed at health professionals, patients, their families and all those who face problematic decisions with regard to medical treatment in end-of-life situations, and provides help for the development of practices. The guide is also a source of material for any discussion held within our societies on the decision-making process regarding medical treatment in end-of-life situations in that it proposes benchmarks relating both to the practices and the principles that can be applied in this context.