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Healthcare Ethics & Compliance Competency Model

Working Group

Members

**Katalin Pungor, Andy Gascard,
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General Assembly

Paris, France, 24 November 2015

Agenda

- ❖ Executive Summary
- ❖ Methodology
- ❖ The Competency Model – incl. Vision & Mission, Strategy
- ❖ Recommendation and next step: ETHICS Position Paper

Vision: HCC Professional facilitates regaining and sustaining of stakeholder, governmental and public trust of Health Care/Life Science Industry as valuable part of finding treatment solution for diseases

Mission: HCC Professional advances and promotes culture of business accountability of ethical business decision making with a focus on mitigating non-compliance

Strategic Pillars of the HCC Professional

STRATEGIC PARTNER

To get alignment on ethical behavior, integrity and transparency

For internal stakeholders/business leaders

- understands business strategy and market trends
- aligns on present and future compliance risks related to their business
- advises business leaders on compliant business solutions, including changes to business models
- facilitates development of compliant SWOT/strategy
- fosters candid discussion on business compliance
- fosters adequate response to incidents

For external stakeholders

- either directly or indirectly influencing the relevant business
- and/or ensuring personal participation in policy making groups (e.g. industry associations)

CHANGE MANAGER

Facilitates re-orientation of compliance function "from compliance as a cost center" to "business partnering" (if needed) to a value based position

Facilitates competency development for business if needed based on insight into business decision making and customer interactions

Ensures business accountability

Translates HCC into business benefits
fosters emotional identification around values

COMPLIANCE LEADER/ADVISOR

Leading by example & without authority

Acts as a role model for compliance and a visionary, inspires and motivates stakeholders

Embeds compliance requirements in a simple, easy to understand way into business processes

Monitors/tests adherence to compliance programs/local rules and regulations as part of risk assessment,

Informs stakeholders/ business leaders and ensures relevant actions are taken

Leads/facilitates cooperation across different functions to align on compliant and ethical business standards/ competencies/ strategies/ resources/ communication

Vision: HCC Professional facilitates regaining and sustaining of stakeholder, governmental and public trust of Health Care/Life Science Industry as valuable partner in finding treatment solution for diseases

Mission: HCC Professional advances and promotes culture of business accountability of ethical business decision making with a focus on mitigating risks of non-compliance

Strategic Pillars of the HCC Professional Function

STRATEGIC PARTNER

To get alignment on ethical behavior, integrity and transparency

For internal stakeholders/business leaders

- understands business strategy and market trends
- aligns on present and future compliance risks related to their business
- advises business leaders on compliant business solutions, including changes to business models
- facilitates development of compliance SWOT/strategy
- fosters candid discussions on business compliance
- fosters adequate actions in case of incidents

For external stakeholders

- either via supporting/advising the relevant business representative
- and/or via active personal participation policy makers' groups (e.g. industry associations)

CHANGE MANAGER

Facilitates re-positioning of the compliance function "from policing to business partnering" (if needed, if not: ensures the value based positioning)

Facilitates competency development for compliant business if needed based on insight into business decision making and customer facing interactions

Fosters business accountability

Translates HCC into business benefits
fosters emotional identification around values

COMPLIANCE LEADER/ADVISOR

Leading by example & without authority

Acts as a role model for compliance and a visionary, inspires and motivates stakeholders

Embeds compliance requirements in a simple, easy to understand way into business processes

Monitors/tests adherence to compliance programs/local rules and regulations as part of risk assessment,

Informs stakeholders/ business leaders and **ensures relevant actions are taken**

Leads/facilitates cooperation across different functions to align on compliant and ethical business standards/ competencies/ strategies/ resources/ communication

HCC Core Competencies

Strategic partner	Change manager	Compliance officer/advisor
<p>Business acumen understand and develop strategy (analytical skills, synthesis), customer orientation, making and fostering decisions, planning, seeing hidden problems, differentiating between facts and assumptions, aligning on & ensuring compliance controls in business processes</p> <p>Stakeholder management (internal & external) understanding decision making, networking, connecting / bridging, strategic alliance, organizational intelligence, working in teams, sensitivity for multicultural aspect</p> <p>Governance understand and become part of the governance structure, keep informed</p>	<p>Communication skills listening, asking the right questions, assertive communication, presentation skills, negotiation skills, identifying & managing manipulative communication / hidden agendas</p> <p>Impact/influencing skills selling skills, identifying & influencing, language, engagement, understanding the big picture, conflict management, managing difficult discussions</p> <p>Project management skills resource management, implementation</p>	<p>Leadership - leading without authority courage, self awareness, inspire, delegate & empower, to receive & give appropriate feedback, managing complexity & ambiguity, facilitate development of company competencies, ability to learn & adapt, develop oversight</p> <p>Ethical role model - leading by example being open / approachable, patience & resilience, integrity & reliability, accountability, walk the talk, learn & facilitate learning from mistakes</p>

Personal skills

Time management: prioritization, stress management, work-life balance
Positive attitude: celebrating success (self & team), sense of humor

Content knowledge (experience & training)

Non-HCC knowledge: business strategy / process / systems, budget planning, finance for non-finance

HCC knowledge: HCC strategy / processes / systems, monitoring/testing/auditing, regulatory environment

HCC Core Competencies

Strategic partner	Change manager	Compliance leader/advisor
<p>Business acumen understand and develop strategy (analytical skills, synthesis), customer orientation, making and fostering decisions, planning, seeing hidden problems, differentiating between facts and assumptions, aligning on & ensuring compliance controls in business processes</p> <p>Stakeholder management (internal & external) understanding decision making, networking, connecting / bridging, strategic alliance, organizational intelligence, working in teams, sensitivity for multicultural aspect</p> <p>Governance understand and become part of the governance structure, keep independence</p>	<p>Communication skills listening, asking the right questions, assertive communication, presentation skills, negotiation skills, identifying & managing manipulative communication /hidden agendas</p> <p>Impact/influencing skills selling skills, identifying / managing body language, engagement, coaching, understanding the context / big picture, conflict management, manage difficult discussions</p> <p>Project management skills stakeholder & resource management, alignment, implementation</p>	<p>Leadership skills - leading without authority self-confidence/courage, self awareness, motivate & inspire, delegate & empower, ability to receive & give appropriate feedback, managing complexity & ambiguity, facilitate development of company competencies, ability to learn & adapt, develop oversight</p> <p>Ethical role model - leading by example being open / approachable, patience & resilience, integrity & reliability, accountability, walk the talk, learn & facilitate learning from mistakes</p>

Personal skills

Self management: prioritization, stress management, work-life balance

Positive attitude: celebrating success (self & team), sense of humor

Content knowledge (experience & training)

Non-HCC knowledge: business strategy / process / systems, budget planning, finance for non-finance

HCC knowledge: HCC strategy / processes / systems, monitoring/testing/auditing, regulatory environment

ANNEX BACK UP SLIDES

Recommendation to Strategic Committee

- Consider this Competency Model as final and ready to publish on the ETHICS website
- Position Paper for website publication – see also Annex
 - an introduction text of the objective and purpose;
 - when and how to use this Competency Model;
 - the methodology used to get to this Competency Model;
 - plus providing SME contact names

Summary

The Competency Model Working Group

- has been created with the aim to provide guidance and support to our member's Healthcare Compliance Professionals concerning the Ethics & Compliance function's strategy including the strategic positioning and core competencies of Healthcare Compliance Professionals.
- consists of the following members: Katalin Pungor, Andy Gascard, Tamara Tubin, Eva Gardyan-Eisenlohr and Sue Egan.
- has conducted several working sessions and conference calls in order to create a position paper for our members.

Methodology & steps

1. Alignment on vision/mission/strategic pillars of the HCC professional

- Endorsement of WG proposal by the Strategic Committee and the General Assembly: Sept 2014
- Focus on the „HCC profession“ in general vs giving recommendations to different job levels

2. Analysing & aligning on core competencies

- **To conclude on HCC Core competencies based on vision/mission/strategic pillars**
source: company best practices, available commercial models, literature, personal experience
method: WG consensus meetings/calls
outcome: core competencies identified based on strategic pillars
- **To identify a potential commercially available model for potential use for ETHICS**
model assessed/selected: Lominger /Korn-Ferry methodology (used by quite a few members)
outcome: no consensus reached with Korn-Ferry
proposal: as companies have well established internal HR methods for competency evaluation, we propose to drop the idea to have one commercial model for ETHICS

ETHICS Position Paper 'Competency Model'

- A competency is a measurable human capability that is required for effective performance. A competency may be comprised of knowledge, a single skill or ability, a personal characteristic, or a cluster of two or more of these attributes. Competencies are the building blocks of work performance. (Hoge, Tondora, Marrelli: Strategies for developing competency models, 2005).
- The objective of this Competency Model is to provide guidance and support to our member's Healthcare Compliance Professionals concerning the Ethics & Compliance function's strategy including the strategic positioning and core competencies of Healthcare Compliance Professionals. The Model can be consulted when a new Compliance Organization should be established, an existing one requires refocusing and/or restructuring, individual compliance professionals should be identified, selected and/or on-boarded
- The ETHICS work stream benchmarked many existing models among member companies and outside, not only in the ethics and compliance area even beyond in other business functions. To complete the full picture of an actionable and value adding model the foundation was established too. The Vision describes the end-state goal, the Mission the reason for being. The Strategic Pillars set out the focus areas of compliance professionals. And finally the recommended and preferable competencies build the link how to accomplish the Vision.
- We recognize that many other Competency Models underlines a similar purpose. We are not claiming to be totally new or even better than others. This Model here is comprehensive and also simple, focusing on the needs of enterprises as well as individuals
- In case of question, please contact ...
- And this group of Subject Matter Experts (SMEs) appreciates your feedback!















Compliance Officer 2.0



„Compliance Officer 2.0 is an agent of change, working closely with the CEO to take a more holistic view of how to simplify compliance as much as possible.”

Source: White paper, Compliance officer 2.0 - are you ready? www.continuity.net

Milestones

Key Activities	2013	2014	2015
Working Group Established & First Discussions	 	 	
Presentation on Lominger's Competency Model testing			
Working Session: Lominger's Competency Model		 	
Endorsement by Strategic Committee & General Assembly		 	
Presentation on vision, mission, strategy		 	
Working Session: ETHICS Competency Model			 
Presentation Ethics Competency Model			 
ETHICS Position Paper			