INTERNATIONAL SOCIETY OF HEALTHCARE ETHICS AND COMPLIANCE PROFESSIONALS

Healthcare Ethics & Compliance Competency Model Working Group

Members

Katalin Pungor, Tamara Tubin, Sue Egan, Andy Gascard

General Assembly

Paris, France, 29 September 2016

ethics

Agenda

Time	Topic
16:15 – 16:20 All	Work Group Brief Introduction
16:20 – 16:25 KP	Healthcare Ethics & Compliance Competency Model & Update
16:25 – 16:35 KP	Next Level: Self Assessment Tool Structure
16:35 - 16:40 AG 16:40 – 16:55 All	Intro Workshop Workshop & Feedback
16:55 – 17:00 TT	Next Step & Closing

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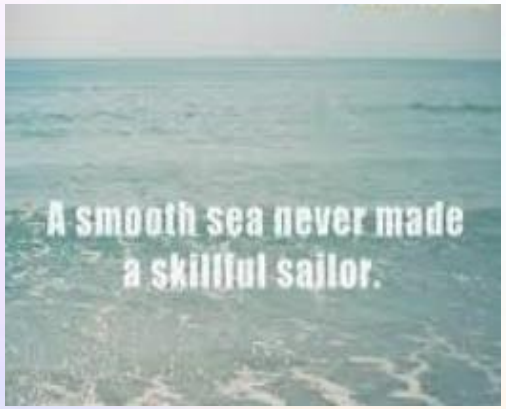
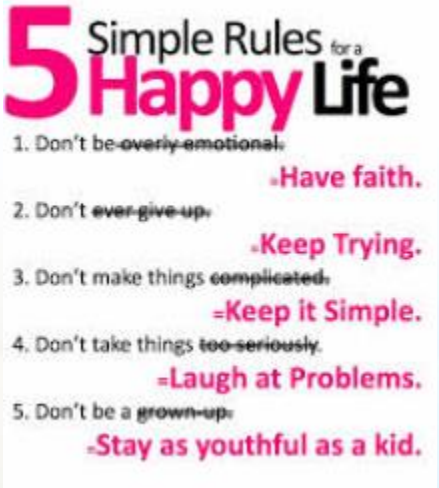
Work Group Introduction

- Name
- Living and working ….
- Background ….
- Hobbies …..





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Healthcare Ethics and Compliance Competency Model & Update

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Vision: Healthcare Compliance (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 patients

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 tobusiness 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

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HCC Professional Core Competencies revised

Strategic partner

~~Business acumen~~ Strategic skills
Business acumen, understand and develop strategy (analytical skills, synthesis), ~~customer orientation,~~ *(moved to stakeholders)* ~~making and fostering decisions~~ (*moved to leadership*) planning, seeing hidden problems, differentiating between facts and assumptions, understanding the context/big picture, aligning on & ensuring compliance controls in business processes

Stakeholder management (internal & external)
understanding and impacting decision making, networking, connecting / bridging, customer orientation, strategic alliance, organizational intelligence, working in teams, sensitivity for multicultural aspect

Governance
understand and become part of the governance structure, keep independence

Change manager

Communication skills
listening, asking the right questions, assertive communication, presentation skills, negotiation skills, identifying & managing manipulative communication /hidden agendas

Impact/influencing skills
selling skills, identifying / managing body language, engagement, coaching, ~~understanding the context / big picture,~~ ~~(~~*moved to strategy),* conflict management, manage difficult discussions

Project management skills
stakeholder & resource management, alignment, implementation

Compliance leader/advisor

Leadership skills - leading without authority
self-confidence / courage, self awareness, motivate & inspire, delegate & empower, ability to receive & give appropriate feedback, making decisions, managing complexity & ambiguity, facilitate development of company competencies, ability to learn & adapt, develop oversight

Ethical role model - leading by example
being open / approachable, patience & resilience, integrity & reliability, accountability, walk the talk, learn & facilitate learning from mistakes

Personal skills

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

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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

Self Assessment Tool
Objective

To provide a simple, easy to use, flexible tool based on the agreed competency model

For assessment purposes:

- for self-assessment
- for giving feedback by the line manager
- for collecting feedback from stakeholders

For agreement on development areas:

- proposal is to select the areas of improvement / strength
- as a general rule select max. 3 based on what could best contribute to performance improvement / enhancement and / or career development
- remember that one should not only focus on the improvement areas but also on the areas of strength

Thank you for the core group testing & feedback:
Enno Behrendt, Nys Vincent, Giota Papamarkou

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Next Level: Self Assessment Tool
Structure

5 tabs: 4 for Core Competencies (Strategic partner, Change manager, Compliance lead, Personal)
1 for Content knowledge
same coloring as in the model PowerPoint (orange, grey)

Content per sheet:
key skills (sub-skills as relevant)
short description of indicators of competence level in key skills (sub-skills)
simple assessment options (none, some, full) with comment opportunity

CORE COMPETENCE	KEY SKILLS	Sub-skills	DESCRIPTION	ASSESSMENT None	ASSESSMENT Some	ASSESSMENT Full	COMMENTS
STRATEGIC PARTNER: gets alignment on ethical behavior, integrity and transparency							
	BUSINESS ACUMEN/STRATEGIC SKILLS: ability to understand, develop strategy and get it implemented						
		Analytical ability	1 Open minded, looks for different perspectives/sources for analysis				
			2 Differentiates between facts and assumptions and understands relevance				
			3 Performs risk analysis (retrospective, prospective; with weighting of risk/feasibility)				
			4 Identifies root causes, including hidden problems				
			5 Business acumen (understands how business/functions work, knows competition, understands how strategy translates into operations)				
			6 Understands big picture (and also details), strategy and trends (business, Ethics & Compliance/Healthcare Compliance, environment)				
		Strategic skills	1 Sets priorities based on the analysis				
			2 Develops options based on risk assessment (prevention, resolution, management)				
			3 Develops mission, vision, objectives, strategy, positioning of compliance based on business acumen				
			4 Embeds compliance controls into business processes				
			5 Translates strategy into SMART (specific, measurable, actionable, realistic, time bound) plan to ensure compliant business decisions				
			6 Ensures timely implementation, including follow up, measurement and corrective actions				
	STAKEHOLDER MANAGEMENT (internal & external): understands and impacts the decision making process towards ethics (within & outside the company)						
		Understands the decision making process	1 Identifies/maps key stakeholders (understands attitudes/behavior & relative importance: roles, relations, organizational & functional power)				
			2 Identifies key stakeholder groups and their relative importance				
			3 Uses networking, individual and team meetings and other sources to collect proper stakeholder insight (including their interest)				
			4 Understands organizational politics & behavior (culture, formal & informal networks, power, dynamics)				
			5 Identifies cultural differences relevant for the Ethics & Compliance/Healthcare Compliance program				
		Impacts the decision making process	1 Influences individual & account mindsets toward ethical decision making based on stakeholder mapping				
			2 Manages cultural differences to get the compliance messages through effectively				
			3 Influences politics and power structures appropriately to achieve the right outcomes				
			4 Builds and maintains strategic alliances				
			5 Builds trust within and outside the company				
	GOVERNANCE						
			1 Understands organizational/corporate governance structure				
			2 Becomes influential in the organizational/corporate governance structure				
			3 Keeps independence				

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Next Level: Self Assessment Tool
Strategic Partner

CORE COMPETENCE	KEY SKILLS	Sub-skills	DESCRIPTION
STRATEGIC PARTNER: gets alignment on ethical behavior, integrity and transparency			
	BUSINESS ACUMEN/STRATEGIC SKILLS: ability to understand, develop strategy and get it implemented		
		Analytical ability	1 Open minded, looks for different perspectives/sources for analysis
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			4 Builds and maintains strategic alliances
			5 Builds trust within and outside the company
	GOVERNANCE		
			1 Understands organizational/corporate governance structure
			2 Becomes influential in the organizational/corporate governance structure
			3 Keeps independence

Strategic partner | Change manager | Compliance leader_advisor | Personal skills | Content knowledge

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Next Level: Self Assessment Tool

Change Manager

CORE COMPETENCE	KEY SKILLS	DESCRIPTION
CHANGE MANAGER: fosters relevant changes to ensure proper accountability, clear roles and responsibilities, competences, resources and positive attitude for ethical business		
	COMMUNICATION SKILLS	
		1 Listens actively with right attention; interested in and understands different views/opinions
		2 Asks the right questions (asks, manages a mixture of closed and open questions as relevant, clarifies)
		3 Communicates clearly to achieve the desired outcomes
		4 Identifies and manages non-verbal communication elements (body language/voice)
		5 Presentation skills: presents info clearly and effectively, adapting to audience size and composition
		6 Communicates assertively (able to represent opinion in a calm & positive way without being aggressive or submissive)
		7 Selects appropriate communication channels for optimal messaging
		8 Translates complex issues into simple, understandable messages
	IMPACT/INFLUENCING SKILLS	
		1 "Sells" compliance (selling skills: identifies needs, finds & communicates benefits of compliance, bridges needs & benefits, identifies "buy-in" signal, follows up)
		2 Identifies & manages different communication styles (e.g. manipulative behavior or indifference of partners; manages difficult discussions)
		3 Negotiates effectively (clear objectives, understands boundaries, willing to give & take, identifies common goals, recognizes partner as a partner)
		4 Creates engagement (joy, alignment, recognition) around compliance
		5 Coaching skills (improves performance/competences of others as a facilitator of learning, helps to find the right answers)
		6 Manages conflicts (prevents, accepts, resolves as relevant)
	PROJECT MANAGEMENT SKILLS	
		1 Develops projects (identifies needs/objective, stakeholders, resource needs, deadlines, key success factors, deliverables, risks and preventive measures, controls)
		2 Leads projects towards agreed objectives (manages stakeholders, resources, risks, reports, monitoring, interrelationships, corrections, change)

Strategic partner | Change manager | Compliance leader_advisor | Personal skills | Content knowledge

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Next Level: Self Assessment Tool
Compliance Lead/Advisor

CORE COMPETENCE	KEY SKILLS	DESCRIPTION
COMPLIANCE LEADER/ADVISOR		
	LEADERSHIP SKILLS - leading without authority	
		1 Self confident and courageous, ready to raise concerns
		2 Has self-awareness, proper insight to learn and adapt if needed
		3 Motivates & inspires self & others
		4 Delegates & empowers others to create proper level of accountability
		5 Makes decisions
		6 Able to give and receive appropriate feedback
		7 Manages complexity and ambiguity
		8 Facilitates development of relevant company competencies
	ETHICAL ROLE MODEL - Leading by example	
		1 Walks the talk, demonstrates high ethics & integrity standards, honest, transparent
		2 Learns and facilitates learning from mistakes
		3 Reliable partner, takes accountability for actions and decisions
		4 Is a trusted partner
		5 Has an open door policy, is accessible
		6 Passionate about ethics, integrity & compliance

Strategic partner | Change manager | Compliance leader_advisor | Personal skills | Content knowledge

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Next Level: Self Assessment Tool
Personal Skills

CORE COMPETENCE	KEY SKILLS	DESCRIPTION
PERSONAL SKILLS		
	SELF-MANAGEMENT	
		1 Sets and follows priorities, does not get buried in transactional/ad hoc tasks
		2 Manages stress (prevents, dissolves, reduces)
		3 Keeps a good work-life balance
		4 Keeps good sense of humour (even in moments of hopelessness)
		5 Self-calibration and temperance; controls disruptive impulses and moods/emotions
		6 Trigger frequent and honest reality checks (self-awareness)
		7 Keep actions appropriate to challenges
	POSITIVE ATTITUDE	
		1 Stays constructive, stays polite, looks for solutions & positives, avoids being overly critical
		2 Acknowledges and celebrates success (self & others)
		3 Uses humour to positively influence (even in moments of hopelessness)
	COMMON SENSE	
		1 Does not overcomplicate, is pragmatic
		2 Is able to translate complex matters into a language that makes sense to the audience
		3 Uses common sense to receive buy-in from key stakeholders

Strategic partner | Change manager | Compliance leader_advisor | Personal skills | Content knowledge

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Next Level: Self Assessment Tool
Content Knowledge

CONTENT KNOWLEDGE	CONTENT TYPE	ELEMENTS
	HCC knowledge	
		1 Company Ethics & Compliance/Healthcare Compliance/Bribery and Corruption Prevention strategy (mission, vision, strategic objectives) long & short term
		2 Company HCC written standards, policies and procedures including guideline (Ethics statement, if separate)
		3 Company HCC processes/SOPs
		4 Company risk based monitoring, testing, audit guidelines/processes
		5 Company HCC analytics (key performance indicators, dashboards, trends)
		6 Company HCC related systems
		7 Regulatory environment (laws, codes, regulations - local & applicable international ones)
		8 Follows HCC related news/publications (like FCPA, CEB, others)
	Non-HCC knowledge	
		1 Company business strategy (mission, vision, strategic objectives) long & short term
		2 Business plans & mid term forecasts of the company
		3 Relevant business processes of the company (e.g. marketing, medical, HR, procurement, finance, communication)
		4 Key products, services & therapeutic areas of the company
		5 Relevant business systems of the company
		6 On-boarding & development content for customer facing employees & managers
		7 Finance for non-finance
		8 Insight on business dynamics, including trends & role of players in the company and the market
		9 Awareness of the product life cycle, distribution channels, payment methods

Strategic partner | Change manager | Compliance leader_advisor | Personal skills | **Content knowledge**

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Workshop & Feedback Session on the Tool

Feedback / Proposal Scope:

- ✓ Structure: is it useful?
- ✓ Content: is it clear?
- ✓ Is there any important criteria missing?

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Next Steps

- ✓ Develop a Communication Plan & Strategy
- ✓ Consolidating feedbacks on Self Assessment Tool
- ✓ Finalization of Self Assessment Tool
- ✓ Endorsement from ETHICS Strategic Committee & Member of the Boards
- ✓ WEBEX Sessions with Q&As
- ✓ Website Update
- ✓ Healthcare Ethics & Compliance 2.0 and beyond

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APPENDIX

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HCC Core Competencies revised, cleared

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

Personal skills

Self management: prioritization, stress management, work-life balance
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Content knowledge (experience & training)

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

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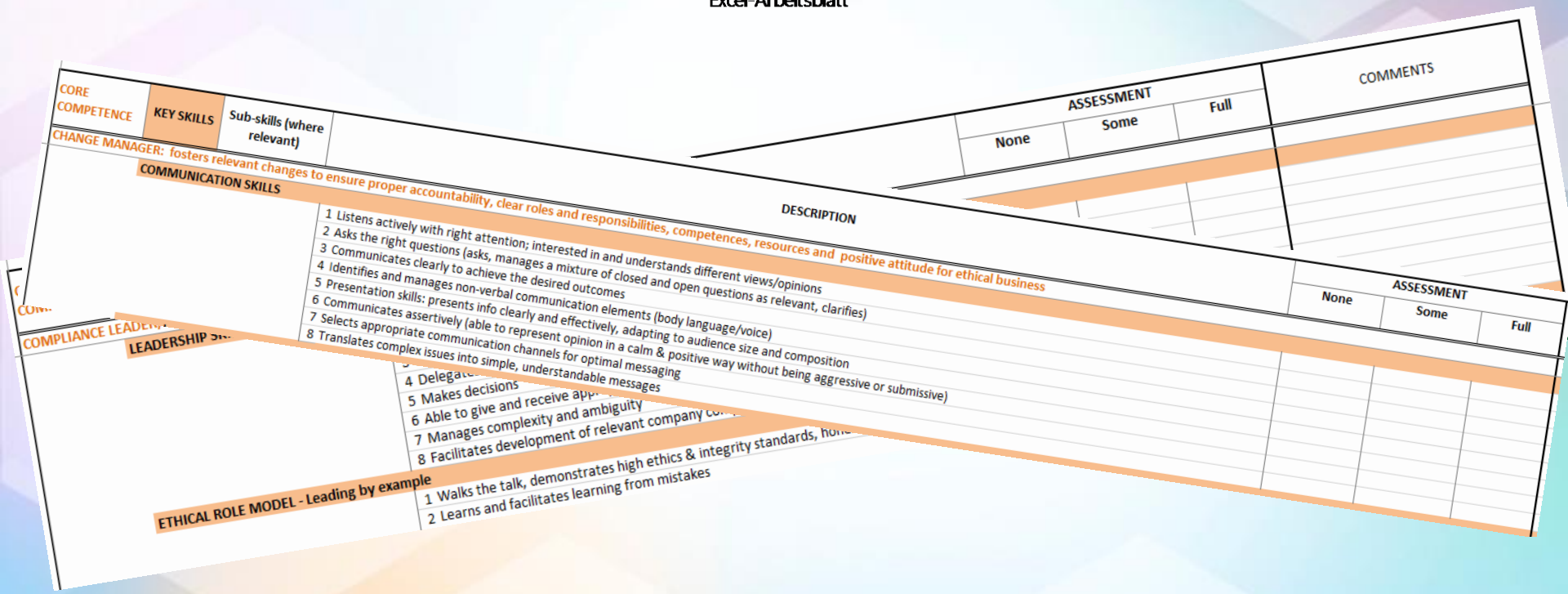
Self Assessment Tool

Microsoft
Excel-Arbeitsblatt



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