



INTERNATIONAL
SOCIETY OF
HEALTHCARE
ETHICS AND
COMPLIANCE
PROFESSIONALS

Healthcare Ethics & Compliance Competency Model Working Group

Members

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Webex session 13 July 2017

ethics



Healthcare Ethics and Compliance Competency Model

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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 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

Strategic partner	Change manager	Compliance leader/advisor
<p>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</p> <p>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</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, 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, making decisions, 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> <p style="text-align: right;">HCC= Healthcare Compliance</p>

Personal skills

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

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

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:

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

For agreement on development areas:

- o proposal is to select the areas of improvement / strength
- o as a general rule select max. 3 based on what could best contribute to performance improvement / enhancement and / or career development
- o 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

And for feedback and input received during and after the General Assembly 2016, including
from Hubertus Stockmann

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 (where relevant)	DESCRIPTION	ASSESSMENT			COMMENTS
				None	Some	Full	
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	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 1 Identifies/maps key stakeholders and stakeholder groups (understands attitudes/behavior & relative importance: roles, relations, organizational & functional power) 2 Uses networking, individual and team meetings and other sources to collect proper stakeholder insight (including their interest) 3 Understands organizational politics & behavior (culture, formal & informal networks, power, dynamics) 4 Identifies cultural differences relevant for the Ethics & Compliance/Healthcare Compliance program 					
	Impacts the decision making process	<ol style="list-style-type: none"> 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							
		<ol style="list-style-type: none"> 1 Understands organizational/corporate governance structure 2 Becomes influential in the organizational/corporate governance structure 3 Keeps independence 					

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Self Assessment Tool

Strategic Partner



CORE COMPETENCE	KEY SKILLS	Sub-skills (where relevant)	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		<ol style="list-style-type: none"> 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)
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GOVERNANCE			
			<ol style="list-style-type: none"> 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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Self Assessment Tool

Change Manager



CORE COMPETENCE	KEY SKILLS	Sub-skills (where relevant)	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 in accordance with stakeholder management (see Strategic Partner tab)	
		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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Self Assessment Tool

Compliance Lead/Advisor

CORE COMPETENCE	KEY SKILLS	Sub-skills (where relevant)	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
<div style="display: flex; justify-content: space-between; padding: 5px;"> Strategic partner Change manager Compliance leader_advisor Personal skills Content knowledge </div>			

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Self Assessment Tool

Personal Skills



CORE COMPETENCE	KEY SKILLS	Sub-skills (where relevant)	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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Self Assessment Tool

Content Knowledge

CONTENT KNOWLEDGE	CONTENT TYPE	ELEMENTS
	HCC knowledge	<ol style="list-style-type: none"> 1 Company Ethics & Compliance/Healthcare Compliance/Bribery and Corruption Prevention strategy (mission, vision, strategic objectives) long & short term 2 Company HCC written standards, policies, processes and procedures including guideline (Ethics statement, if separate) 3 Company risk based monitoring, testing, audit guidelines/processes 4 Company HCC analytics (key performance indicators, dashboards, trends) 5 Company HCC related systems including internal control systems and framework 6 Risk Management Knowledge including risk assessment, mitigation and prevention 7 Regulatory environment (laws, codes, regulations - local & applicable international ones) 8 Follows HCC related news/publications (like FCPA, CEB, others)
	Non-HCC knowledge	<ol style="list-style-type: none"> 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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Actions agreed at the General Assembly 2016 – status overview



- ✓ **Develop a Communication Plan & Strategy**
- ✓ **Consolidate feedback on Self-Assessment Tool**
- ✓ **Finalize Self-Assessment Tool**
- ✓ **Endorsement from ETHICS Strategic Committee & Bureau**
- ✓ **Webinar Sessions with Q&As – now**
- ✓ **Website Update**
- **Healthcare Ethics & Compliance Competency Model next version**

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