

Mini-Summit 29: Hiring and Developing Compliance Leaders

October 26, 2023

Jill Dailey, JD | Vice President and Chief Compliance Officer, Incyte; Executive Committee, Pharmaceutical Compliance Forum

Jake DeBoever, JD | Vice President, Chief Compliance Officer, Dermavant Sciences

Jeffrey Kawalek, MBA | Chief Compliance Officer, Zambon US

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Why are you here?

**To develop
myself..**

**To develop
others...**

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Our Agenda

Hiring

- Defining compliance competencies
- Best practices for selection

Developing

- Competencies and career stages
- Best practices for development
- Case study

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What is a competency?

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Competencies are the knowledge, skills, behaviors, and attributes that contribute to individual and organizational performance.

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What competencies are needed to be successful as a compliance professional?



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3-F Compliance Competency Map

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3-F Compliance Competency Map

FOUNDATIONAL	FUNCTIONAL	FOCUSED
<u>Fundamental</u> skills, behaviors and attributes.	Competencies needed to complete <u>general compliance</u> duties.	<u>Role-specific</u> competencies.
<ul style="list-style-type: none"> ▪ Integrity ▪ Interpersonal skills ▪ Influence/persuasion skills ▪ Professionalism ▪ Initiative ▪ Dependability ▪ Flexibility/Agility/Resilience ▪ Detail orientation ▪ Learning orientation ▪ Results orientation ▪ Responsiveness/sense of urgency 	<ul style="list-style-type: none"> ▪ Industry and business understanding ▪ Compliance knowledge (laws, codes, Seven Elements, etc.) ▪ Judgment and decision making ▪ Planning and organizing ▪ Creativity ▪ Teamwork skills ▪ Problem solving ▪ Presentation skills ▪ Software skills 	<ul style="list-style-type: none"> ▪ Risk assessment ▪ Policy and procedure development and management ▪ Monitoring ▪ Auditing ▪ Investigations ▪ Privacy ▪ Training

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How do you hire the right person for a compliance role?



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Best Practices for Selection

Sourcing

- Write a detailed job description (include foundational and functional expectations)
- Internal vs. external hires
- Buying vs. developing talent
- Using internal HR, recruiters, job posting sites, LinkedIn, and referrals

Validating

- Know the competencies you want to assess
- Plan your questions in advance
- Review LinkedIn recommendations and endorsements
- Dig into their resume/CV

Assessing

- Be consistent across candidates
- Ask competency-related questions. (**Drill and mine** for results!)
- Develop the right interview panel
- Pay attention to the questions they ask for clues about their compliance knowledge
- Think about cultural and team fit
- Gather perspective from others
- Rate the candidate and document your impressions immediately after the interview

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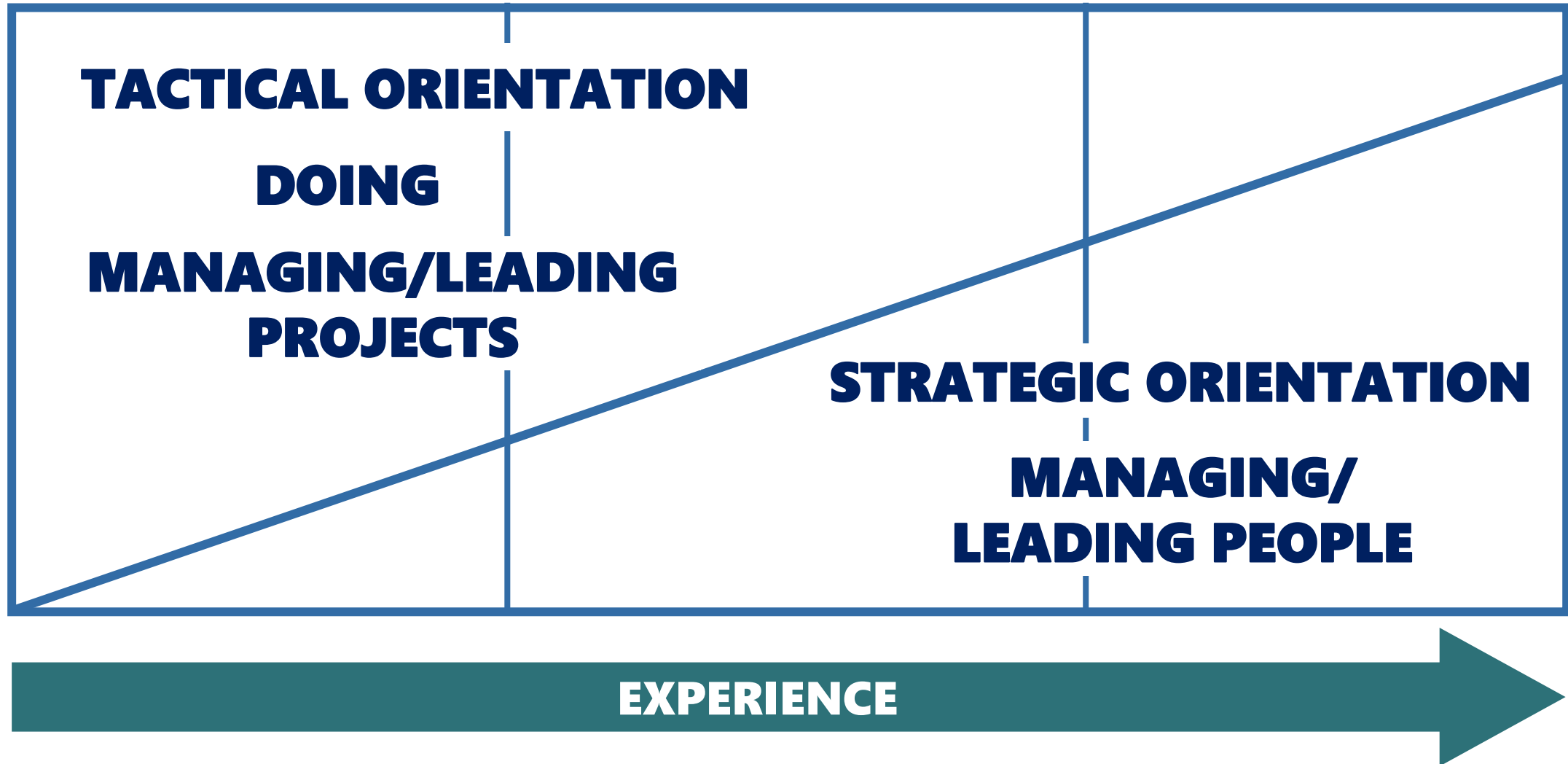
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**How do
competency
expectations
change as
a compliance
career
progresses?**



Competencies and Career Progression



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What are some best practices for developing people?



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Development Activities

	FOUNDATIONAL	FUNCTIONAL	FOCUSED
Compliance training/certifications		👍	👍
“Soft skills” training	👍	👍	
Coaching and feedback	👍	👍	👍
Rotations		👍	👍
Shadowing and on-the-job training		👍	👍
Mentoring		👍	👍
Special projects		👍	👍
Conferences		👍	👍
Executive coaching	👍	👍	
360-degree and other assessments	👍	👍	
Case studies		👍	👍

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Developing Competencies: Case Studies

- Review the handout
- Work with others at your table to answer the questions for the assigned case.
- Appoint a spokesperson(s) to share your perspective with the full group



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Grace is a member of the Pharmaco compliance team, in charge of transparency/aggregate spend operations. She's been in the role since starting the function when the company launched its first product two years ago. She came from a larger company where she originally worked in finance but transferred to compliance after two years. She has done an admirable job hiring and managing her team of two at Pharmaco.

In her last formal review, she expressed interest in "branching out" and learning more about the other aspects of compliance. You believe that with her experience and personality, she would make a good **Compliance Business Partner**, where she would be the go-to person for all manner of compliance questions from the field.

What is one of her development areas relative to the role of Compliance Business Partner? What types of development activities do you think would work well for her initial development?



Rajiv (Raj) is a 2022 graduate of Penn State, where he graduated cum laude with a B.S. in Business and a minor in Legal Environment of Business. He joined the Pharmaco compliance team five months ago, after a short stint with a large bank, which he left because he was "just not a finance guy." As a compliance specialist, he has embraced every task he has been given, usually going above and beyond in the work he produces.

In his most recent one-on-one with you, he said he loves the work, the people, and the company, but is getting a little bored. He is mostly well-liked, but you've gotten some feedback from others that he can come across as impatient and sometimes has a bit of a know-it-all manner.

You want Raj to play a key role on the team that will analyze annual risk assessment data and want to set him up for success.

What is one of his development areas relative to the new project? What types of development activities do you think would work well for his initial development?



Inez is a Director on the Pharmaco compliance team and is responsible for Policy, Training, and Communication. She's been at the company for four years, in compliance for seven years, and has a J.D. from Seton Hall Law School, with concentrations in Health Law and Compliance. As part of her responsibilities, she has overseen Pharmaco's CIA training completion and reporting. The company will move out of its CIA in three months, and she has been tasked with **redesigning compliance training for the post-CIA environment**.

Inez's expertise and passion are in healthcare compliance, not training and development, so you want to be sure she has the development needed to oversee the training reengineering effort.

What is one of her development areas relative to the new assignment? What types of development activities do you think would work well for her initial development?

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Drilling and Mining for Competencies

Decision making and judgment:

Makes timely, informed decisions that take into account the facts, goals, constraints, and risks,

Drilling: Could you please tell me a recent project when you ***had to make a hard decision?*** Please describe situation at a high level, and then I will ask questions that go into greater detail. What was it and what did you do?

Mining: You mentioned that there were several factors you had to consider. Can you tell me more about those factors and how you weighed them in coming to a decision?

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