

Institutional Integrity & Decision-making: A Leadership Approach

Susan I. Belanger PhD, MA, RN, NEA-BC

Covenant Health

Susan_Belanger@covenanthealth.net





Irene Robitaille Belanger 1913-2003



Objectives

- Upon completion of this session participants will be able to:
 - Analyze how an organization's mission, vision & values influence institutional decision making, behavior & integrity
 - Contrast integrity-based and compliance-based approaches to leadership
 - Utilize systematic processes including a values-based, decision-making model for resolving organizational ethical challenges
 - Explain the role leaders play in creating and sustaining an ethical environment



- "In looking for people to hire, you look for three qualities: integrity, intelligence, and energy. And if they don't have the first, the other two will kill you." --Warren Buffet



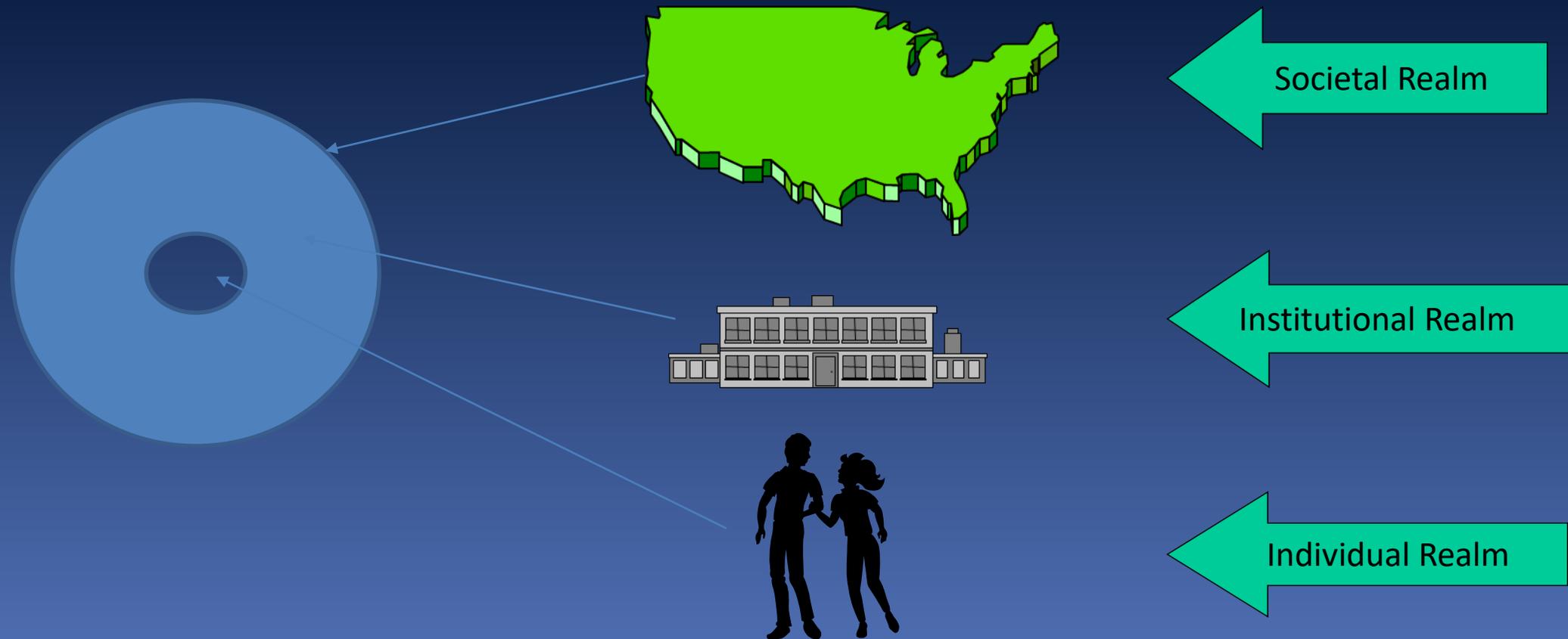
What is Ethics?



Ethics is the formal study of who we ought to be, and how we should make decisions and behave, in light of our identity



John Glaser's Beneficence Model of Ethics (1994)



Callahan's Three Foundational Questions

- What kind of person ought I be in order to live a moral life and make good ethical decisions?
- What are my duties and obligations to other individuals whose life and well-being may be affected by my actions?
- What do I owe the common good or the public interest, in my life as a member of society?



Compliance vs. Ethics

- Compliance programs are rule-based organizational initiatives which attempt to meet basic minimal legal requirements.
- An integrity-based strategy encourages exemplary behavior that aligns with an organization's values and social expectations.

• Lynn S. Paine, 1994

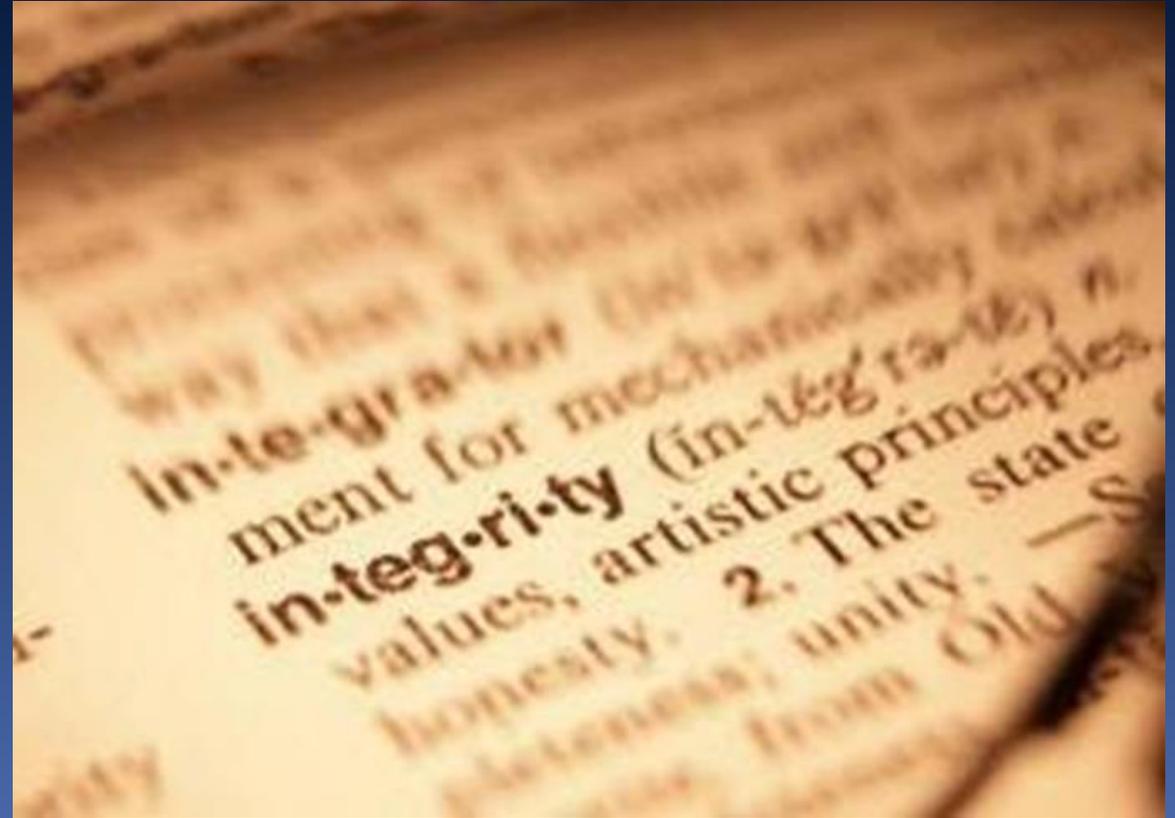


What is Integrity?

Integrity:

- 1 : firm adherence to a code of especially moral or artistic values : incorruptibility*
- 2 : an unimpaired condition : soundness*
- 3 : the quality or state of being complete or undivided : completeness*

Merriam-Webster, 2017



	Compliance Strategy	Integrity Strategy
Ethos (spirit)	Conformity with externally imposed standards	Self-governance according to chosen standards
Objective	Prevent criminal misconduct	Enable responsible conduct
Leadership	Lawyer-driven	Management-driven with aid of lawyers, HR, others
Methods	Education, reduced discretion, auditing and controls, penalties	Education, leadership, mentoring, accountability, organizational systems and decision processes (“centers of ethical responsibility”) auditing and controls, penalties
Behavioral Assumptions	Autonomous beings guided by material self-interest	Social beings guided by material self-interest, values, ideals, peers
Standards	Criminal and regulatory law	Company values and aspirations, social obligations, including law
Education	Compliance standards and system	Decision making and values compliance standards and system



Ethics Iceberg: What you can't see matters!



Hmmm...

If a qualified applicant came to your organization and said to one of your direct reports, “I want to work for a company with integrity”.
Would your employee snicker?



Characteristics of an Ethical Environment

- Recognizes ethics as important
- Encourages discussion of ethical concerns
- Defines employee expectations
- Empowers employees to behave ethically
- Resolves issues on a system level
- Sees ethics as part of quality
- Views organizational decisions as ethical

• VA IntegratedEthics



A role model for ethical practice:

- projects professionalism and responsibility
- demonstrates respect and consideration
- maintains composure and poise even in crisis
- is honest, forthright, and trustworthy
- treats everyone fairly
- follows through on promises and commitments
- exercises self-control and restraint
- chooses to take the “high road” even when others do not
 - VA IntegratedEthics, Ethical Leadership, pg., 24



Ethical Leadership Self-Assessment

- Demonstrate that ethics is a priority
 - I initiate discussions of ethical concerns
 - I use examples to illustrate the importance of ethics
 - I demonstrate that I am sensitive to ethical issues
 - I include specific expectations in performance plans
 - When staff raise ethical concerns, I thank them
 - I encourage discussion of conflicting values in decision making



- Communicate clear expectations for ethical practice
 - I serve as a role model for ethical practice
 - When I communicate my expectations:
 - I explain the values that underlie those expectations
 - I use examples to illustrate my point
 - I make sure my expectations are achievable
 - I address the obstacles
 - When staff receive mixed messages, I clarify
 - I encourage dialogue when there's pressure to “bend the rules”



- Practice ethical decision making
 - I consider ethical issues when making decisions
 - When making difficult decisions, I use a standardized process and/or the mission and values to decide
 - I avoid favoritism in my decisions
 - I seek advice on ethical issues when needed
 - When important decisions are made:
 - I take time to explain the process and who was involved
 - I explain the rationale for the decision



- Support your local ethics committee
 - I talk to my staff about the ethics program
 - Consultations
 - Research
 - Ethics education
 - Policy changes
 - I receive and review updates
 - I encourage staff to use the ethics process

Ethical Leadership Self-Assessment Tool

https://www.ethics.va.gov/docs/integratedethics/el_tools_guide_051115.pdf





CASE PRESENTATION

You work as an administrator for BAY home care & hospice. Your risk manager asks to meet with you about an issue that has come to her attention.

A pharmacy you have a contract with contacted her to say there may have been a drug calculation error in some of the medications used by your agency. In her review, she found four hospice patients receiving the medication recently died. Two deaths were anticipated, two were not expected quite so soon.

The families of the decedents reached out to you already, to thank you for the wonderful care their loved ones received. What now?



Bay Home Care & Hospice

- Our Mission
- BAY Home Care & hospice has a special purpose—to help people have a safe home life with comfort, independence, and dignity. We care for our clients 24 hours a day, 7 days a week. Our goal at BAY is to provide the highest services available. We believe our clients and their families deserve care delivered with compassion, excellence, and reliability, our BAY core values.
- Our Vision
- With a strong commitment from each of us, BAY will make it possible for millions of people worldwide to experience a better quality of life in the comfort of their own homes. We want to build and maintain a lasting legacy as the world's most compassionate and trusted team of home health care professionals.



Our Values

Compassion

- Key result: Our clients and their families feel cared for and supported.

Excellence

- Key result: We provide home health care & hospice services to our clients with the highest professional, ethical, and safety standards.

Reliability

- Key result: Our clients and their families can rely on us and are able to live their lives to the fullest, with a sense of well-being, dignity, and trust.



Organizational Ethics Work-Up

IDENTIFY THE PROBLEM

- 1. What are the facts?
 - a. What individual stakeholder or groups of stakeholders are affected?
 - b. How are they affected?
 - c. What systems, structures, or policies are affected?
 - d. How are they affected?
- 2. What are the ethical issues involved from the perspective of individual stakeholders or groups of stakeholders?



OBTAIN BACKGROUND INFORMATION

- 1. What is the organization's mission?
- 2. What is the organization's vision?
- 3. What are the organization's core values?
- 4. Who are the organization's stakeholders?
- 5. What priority does the organization assign to each stakeholder or group of stakeholders?
- 6. How is that priority determined?



MAKE THE DECISION

1. Identify alternatives.
2. Rank alternatives by asking:
 - a. What is it that can be done within the context of the organization's mission, vision, and core values?
 - b. What are anticipated outcomes from each alternative?
 - c. What will be the impact of the decision on individual stakeholders or groups of stakeholders?
 - i. Which individual stakeholder or stakeholder group benefits?
 - ii. Which individual stakeholder or stakeholder group is harmed?
 - d. What impact will the decision have on the organization?
 - e. Will the decision have short-term or long-term effects on the organization?



IMPLEMENT THE DECISION

- 1. Who is the best person or group to implement the decision?
 - Is there a conflict of interest in this choice? Can it be resolved?
 - Are accountability mechanisms in place?



MONITOR THE OUTCOMES

- 1. Are anticipated outcomes consistent with actual outcomes?

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