

# Reduce Compliance Risk Using a Portfolio Approach to Training

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**Erica Powers | Sage Therapeutics**

**Punkaj Amin | Smith & Nephew**

**Ed Sleeper | Celgene Corporation**

**Dan O'Connor | PharmaCertify™/NXLevel Solutions**

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# What is the purpose of Compliance Training?

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**Desirable  
Behaviors**



**Undesirable  
Behaviors**

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**What are some of the  
behaviors you are  
looking to influence?**

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# Agenda

1

**Theory**

2

**“Portfolio Approach”**

3

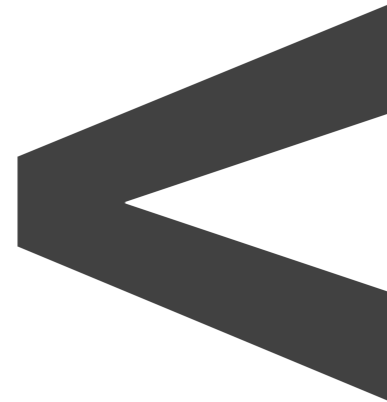
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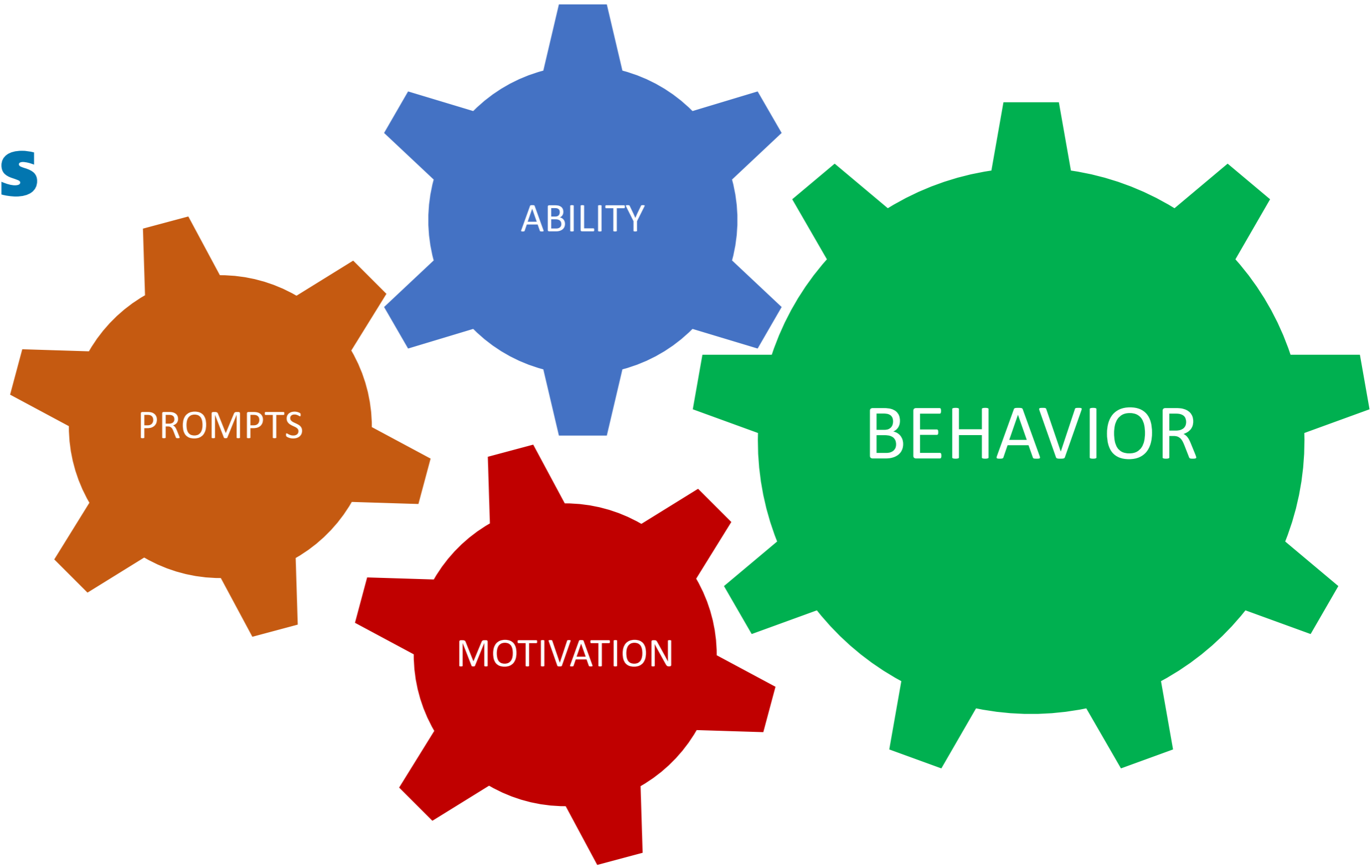
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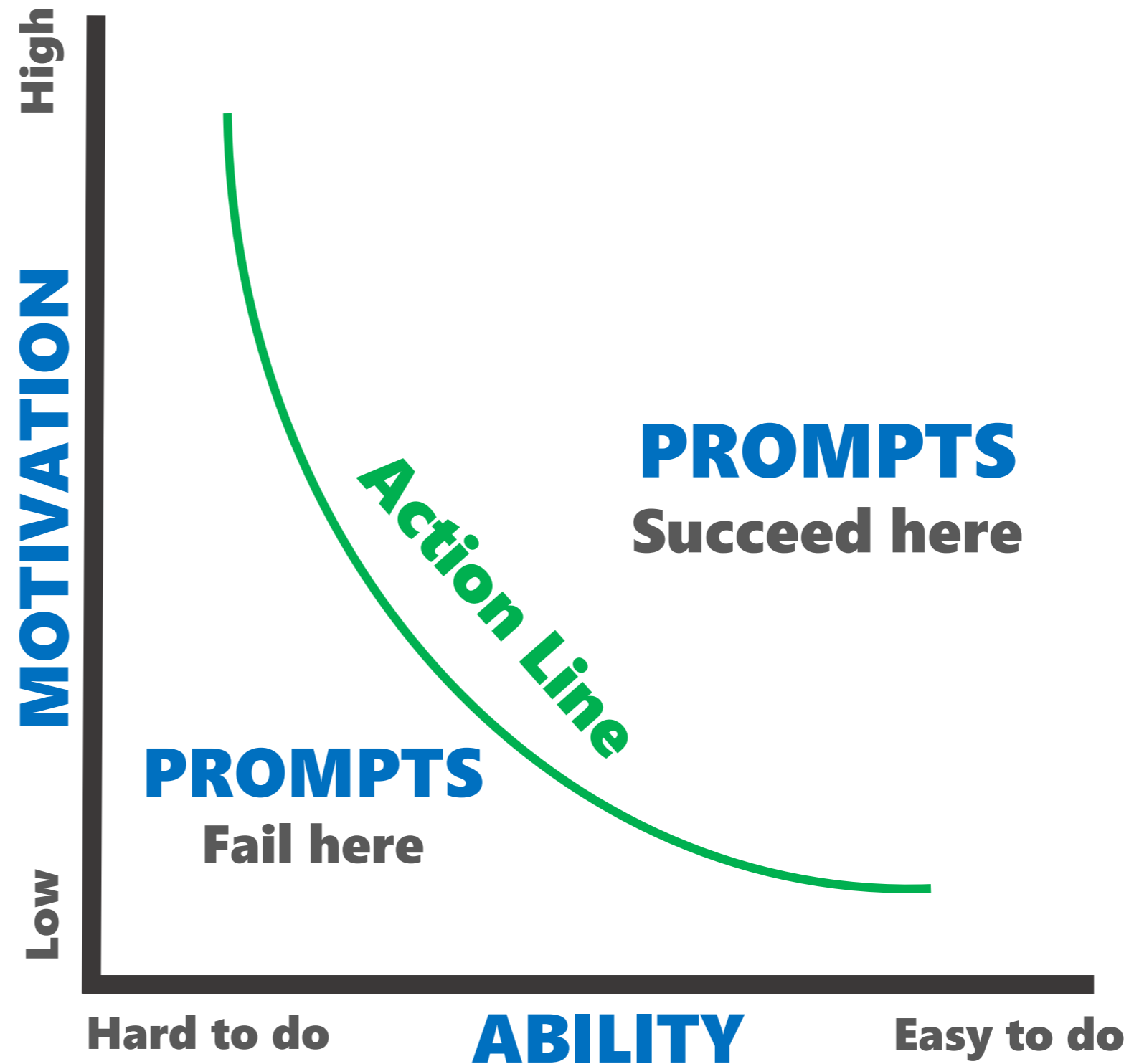


# What enables behavior? Fogg Behavior Model



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# Fogg Behavior Model



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# How do you increase **ABILITY?**

- Training
- Reference tools
- Simplification



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# What **training modalities** does your company employ?

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# TRAINING Modalities

- Foundational eLearning
- Reinforcement eLearning (microlearning)
- Live (in-person or virtual)
- Read & Sign
- Online reference
- App
- Quick reference materials
- Coaching and feedback



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# MOTIVATION Factors

- Pleasure/pain
- Hope
- Fear
- Social acceptance
- Social rejection



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# What **motivators** in your company help drive compliant behaviors?

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# Types of **PROMPTS**

- Contextual reminders, e.g. vis aids/sales materials
- Static prompts
  - Intranet banners
  - Posters
- Active prompts
  - Emails
  - Desk drops
  - Sales meetings



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**What prompts do you employ  
to trigger good behaviors?**

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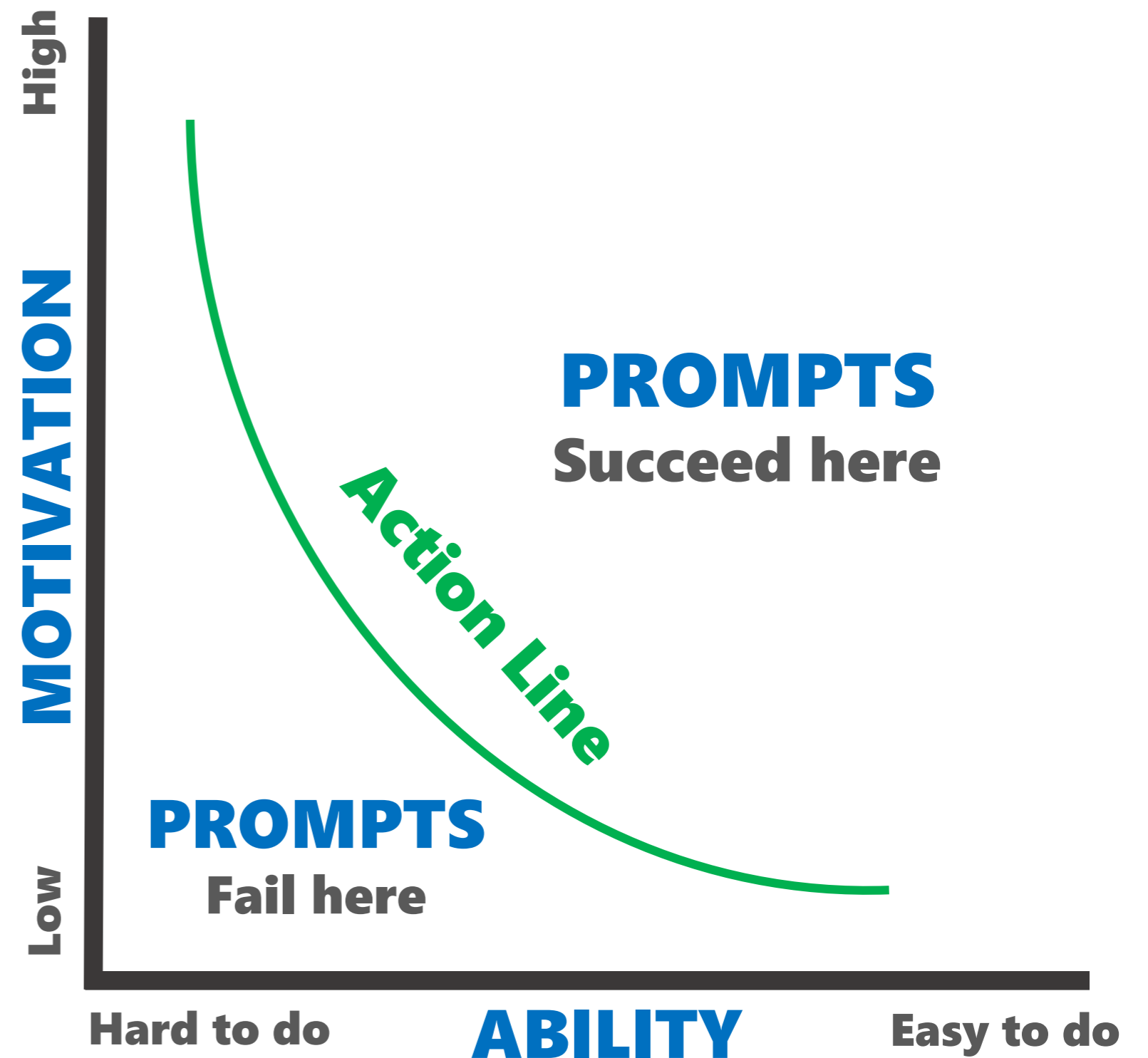


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# Activity: Applying the Fogg Behavior Model

- Working in small groups...
- 5 minutes...
- Choose a behavior that you would like to influence
- Brainstorm and develop approaches to address all three factors
- Be ready to discuss your thoughts



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# What is a **Portfolio Approach**?

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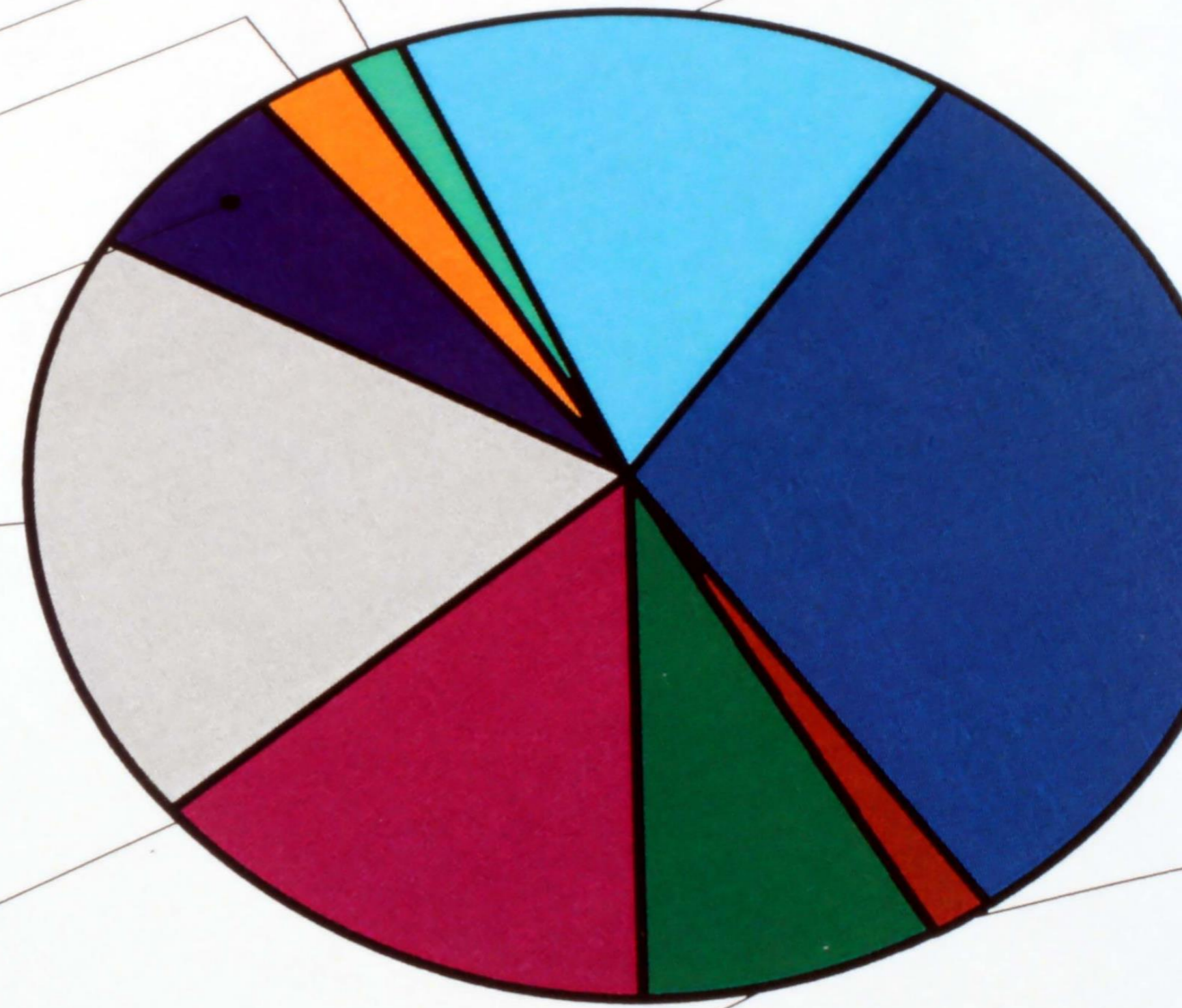
enate Non-Qualified Portfolio  
graph shows an alternative division of your as

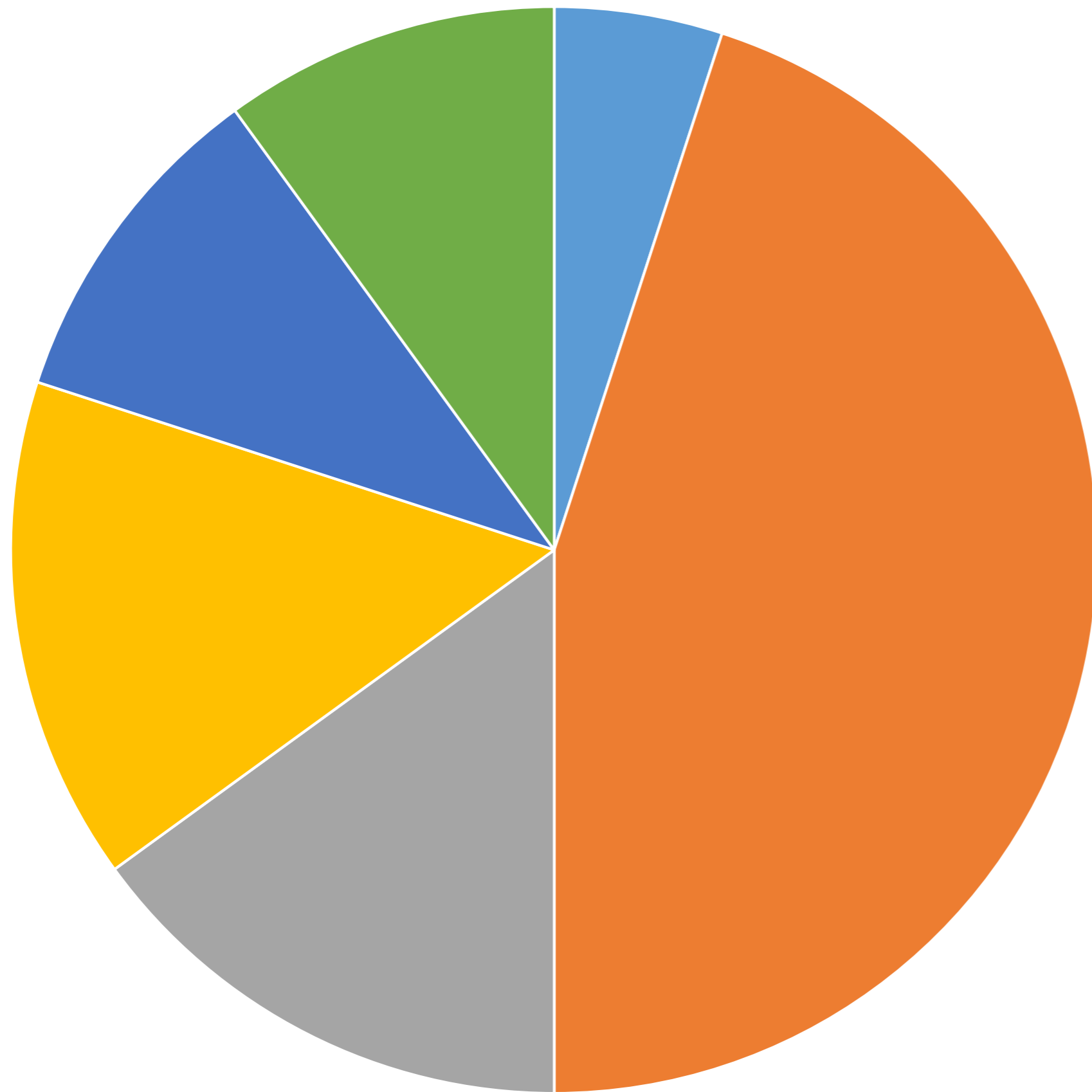
Designated Cash Res 3%

TD-High Grd Bonds 6%

Real Estate 19%

ional Stocks 14%





- Read & Sign
- eLearning
- Live Training
- Microlearning
- Performance Support
- Coaching

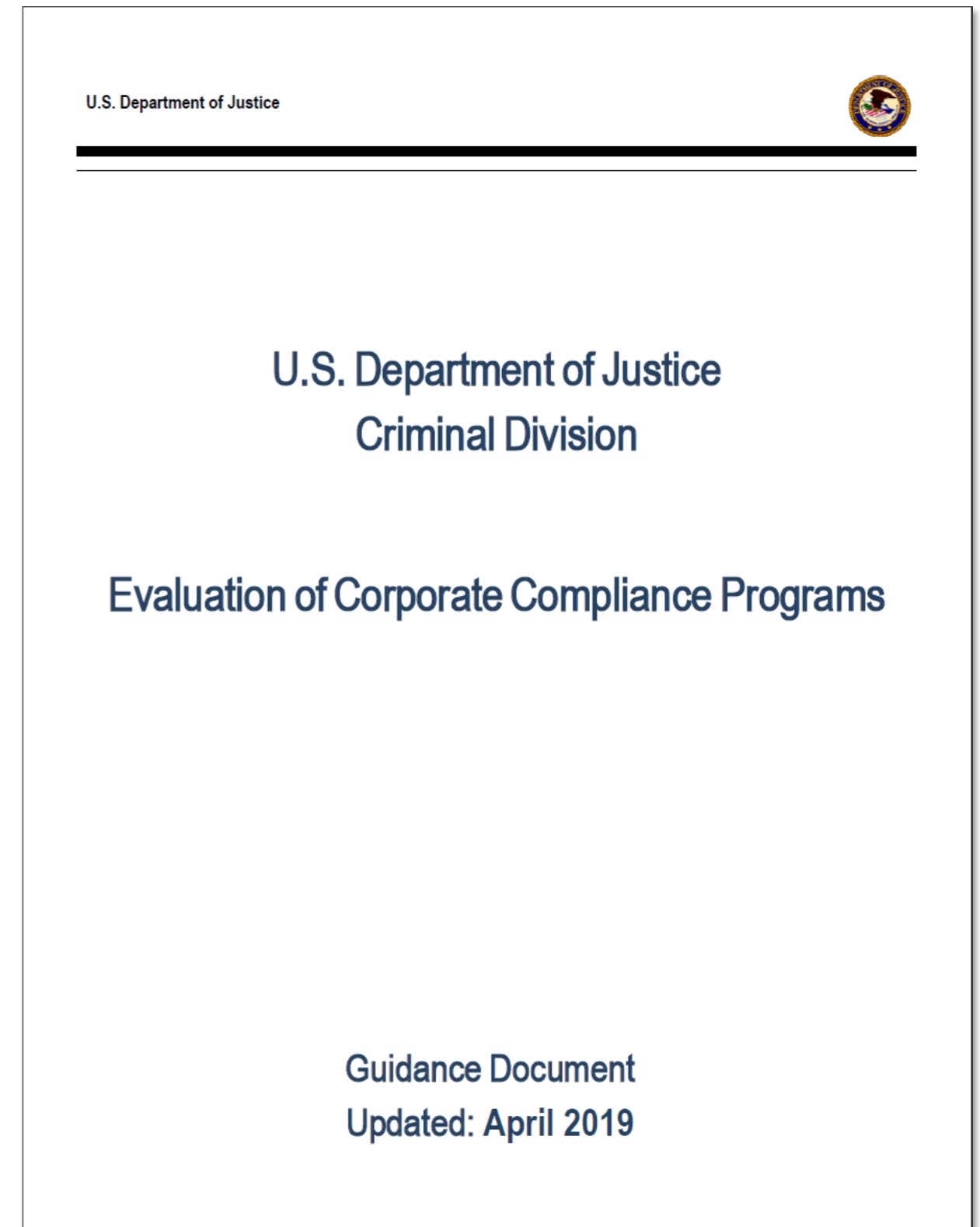
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# What does DOJ say about training??

- Risk-based
- Gap analysis
- Timely
- Periodic
- Tailored
- Real-world, including “coverage of incidents”
- Evaluated/measured
- Tested and remediated



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# How do you determine training priorities?

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# Factors for Determining Training Priorities

- Risk Levels
- Shifting regulatory environment
- Frequency of activity
- Complexity of activity
- Who are we training? (roles, experience, etc.)
- Compliance controls in place
- Budget and resourcing

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# Risk and Training Modalities

RISK RATING	TRAINING MODALITIES						
	Read & Sign	Foundational eLearning	Live Training	Helpline/ Coaching	Reinforcement eLearning	Job Aids	Online Reference
CRITICAL	✓	✓	✓	✓	✓	✓	✓
HIGH	✓	✓	✓	✓	✓	✓	✓
MEDIUM	✓	✓				✓	✓
LOW	✓						✓

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# Example: Sales Position Risk

## RESPONSIBILITIES

Develops business plan for assigned territory that is consistent with sales plans, strategies and objectives.

Conducts quality sales presentations to all targeted customers.

Understands and demonstrates targeting principles.

Leverages sample programs, literature and other items to ensure physician awareness of products.

Differentiates products from all competitors and responds to customer issues confidentially and appropriately.

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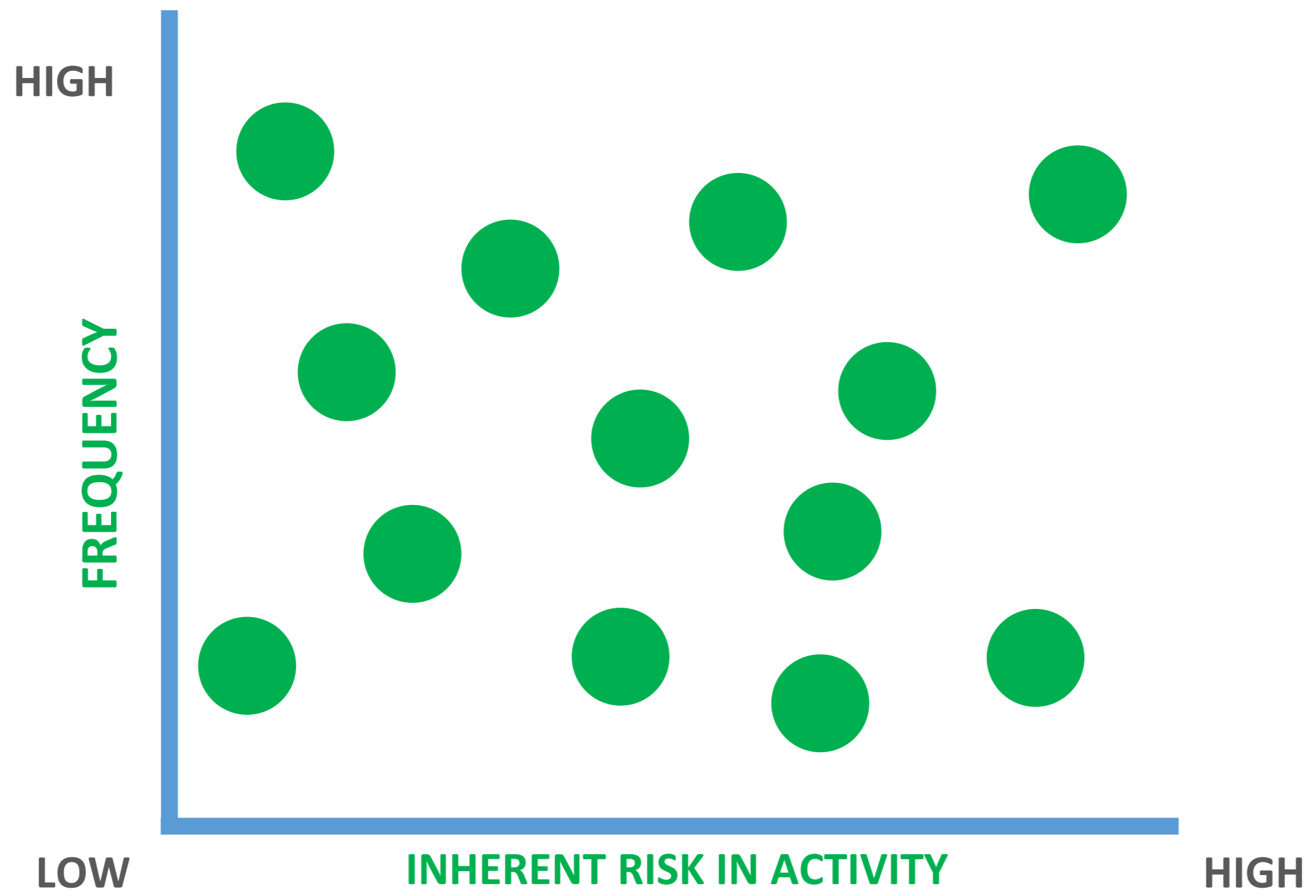
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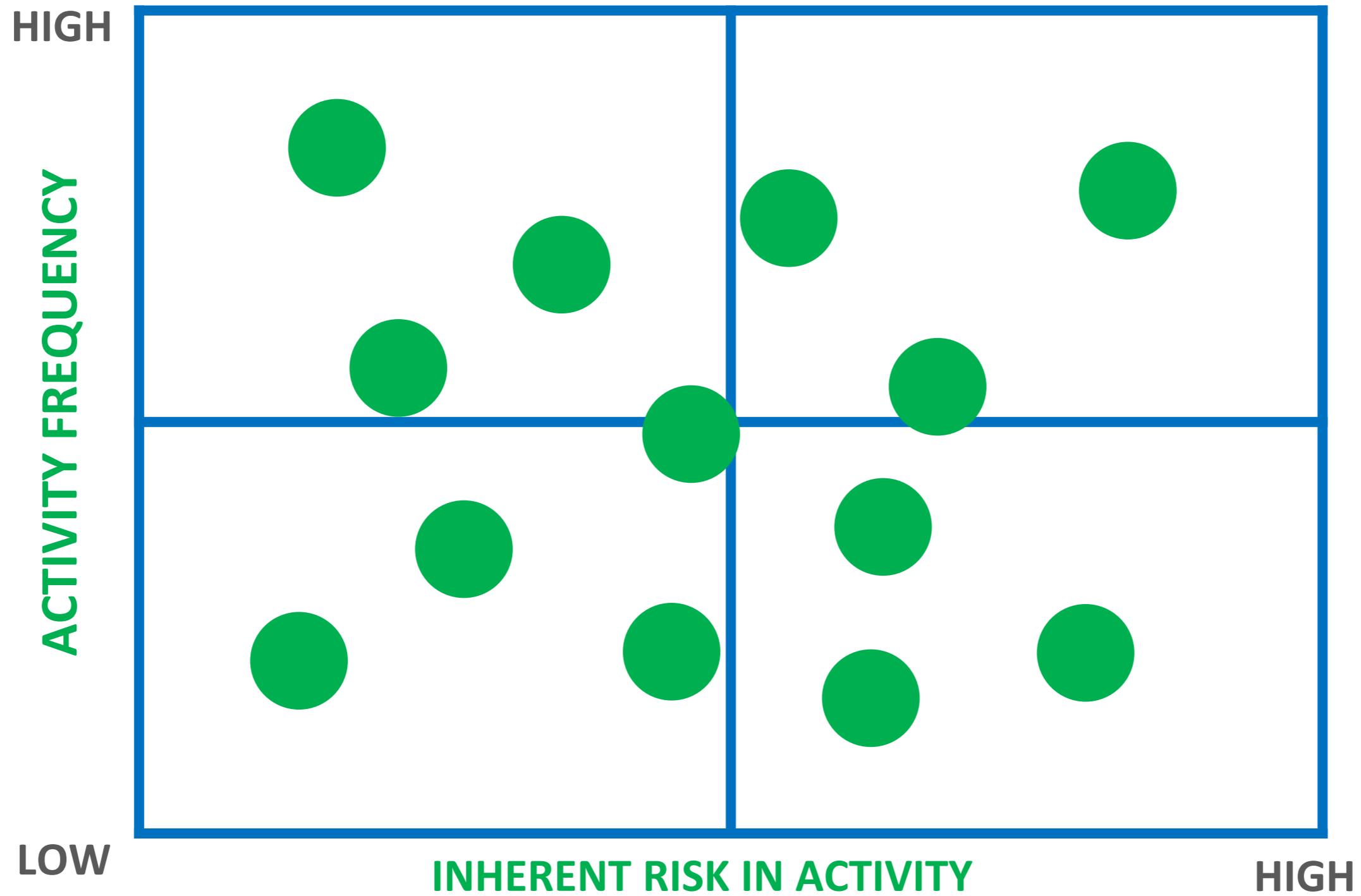


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**HIGH**

**FREQUENCY**

**LOW**

- Read & sign
- Coaching
- Foundational eLearning
- Online reference
- Helpline

- Read & Sign
- Coaching
- Job Aids
- Online reference
- Helpline

- Read & sign
- Foundational eLearning
- Job aids
- Online reference
- Live training
- Coaching

- Read & Sign
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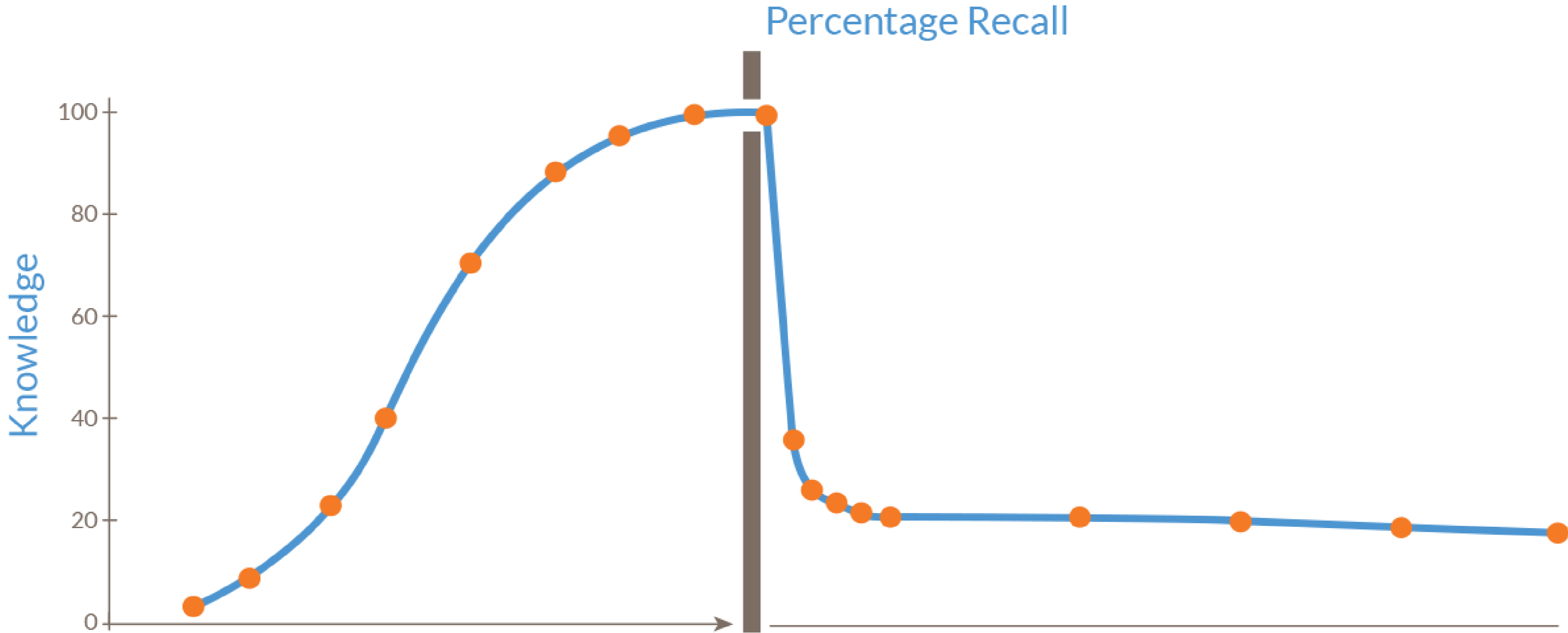
**LOW**

**RISK**

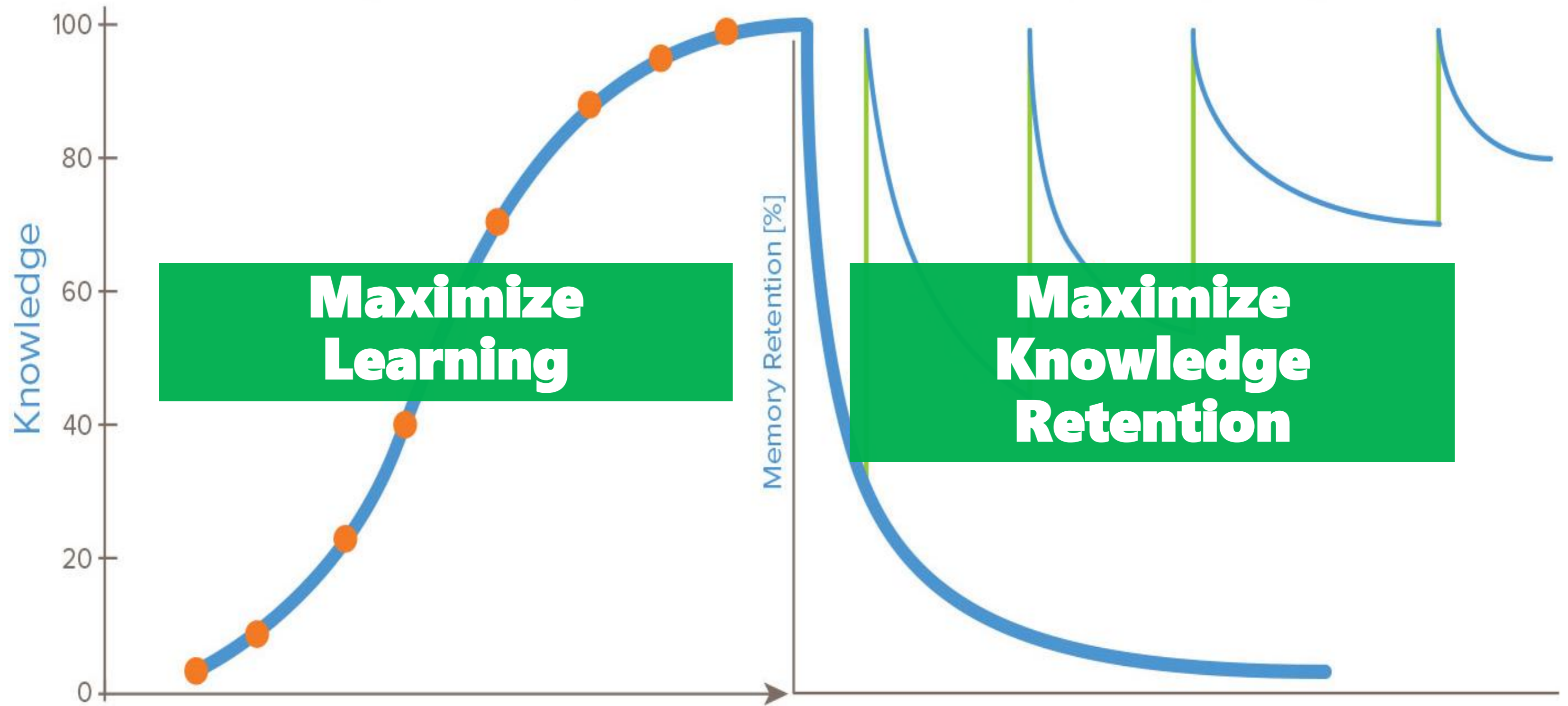
**HIGH**



# The Knowledge Retention Challenge



# Improving Knowledge Retention



**How are you increasing  
knowledge retention in your  
company?**

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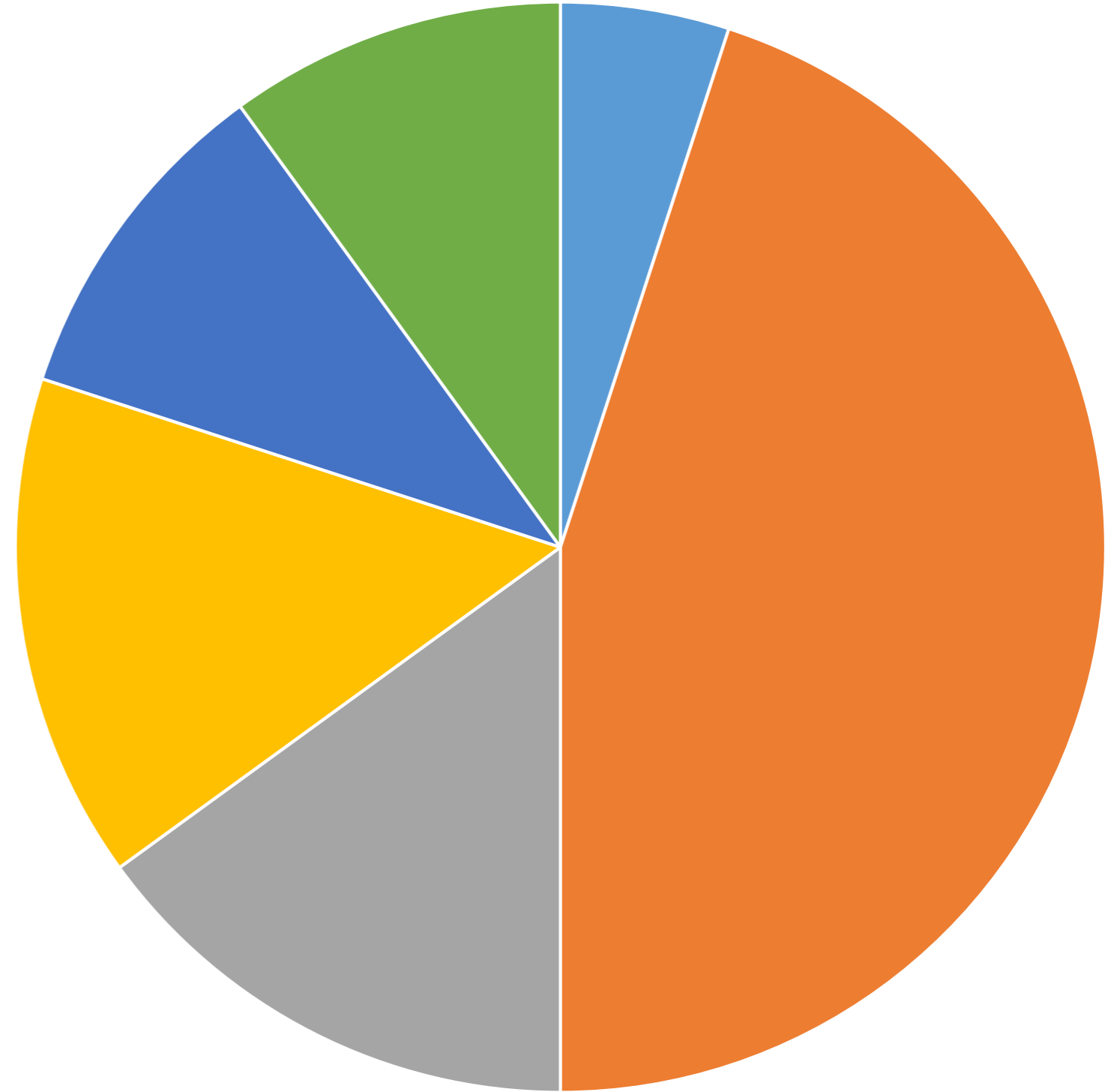
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# How you are implementing a **Portfolio** **Approach** in your company?



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# How are you measuring effectiveness of your training?

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# The Kirkpatrick Model



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# The Kirkpatrick Model



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**What are your  
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from this session?**

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