

This is a sample of the instructor materials for Elizabeth J. Forrestal and Leigh W. Cellucci, *Ethics and Professionalism for Healthcare Managers*.

The complete instructor materials include the following:

- Instructor Guides, including answers to the questions in the Mini-Case Study, Challenge Yourself, and For Your Consideration sections
- PowerPoint slides for each chapter

This sample includes the Instructor Guide and PowerPoint slides for Chapter 3, “Professionalism.”

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Instructor Guide

Chapter 3 Professionalism

MINI-CASE STUDY: SETTLEMENT IN HCA FRAUD PROBE (page 46 of text)

The fraud committed by HCA included overcharging for services provided, paying kickbacks to physicians, and reporting false data. The fines came to about \$1.7 billion.

Instructors may want to direct their students to the websites of the U.S. Department of Justice (DOJ), www.justice.gov/archive/opa/pr/2003/June/03_civ_386.htm, for elaboration of this instance. Also, the 2003 report of the Department of Health and Human Services (HHS), <https://oig.hhs.gov/publications/docs/hcfac/hcfacreport2003A.htm>, includes actions taken other providers at the time of the HCA events.

Questions:

1. If you were an HCA executive, what would have been your ethical obligation to prevent and/or report the fraudulent activities? What does ACHE's Code of Ethics say about this?

Most students report that it would have been their ethical obligation to prevent, but often an interesting discussion will develop concerning the reporting of the activities. I have come to call this the "snitch" factor. While some students see that reporting is part of their ethical duty, others do not, and they report that, while they would not engage in such actions and they would work to prevent such actions, they would not "turn somebody in" for doing so. This discussion leads nicely to turning attention to the specific code and examining ACHE's inclusion of reporting as an ethical obligation.

The ACHE ethical code (see https://www.ache.org/abt_ache/code.cfm) elaborates) sets the standard of conduct for members.

- *ACHE: I.B. Conduct professional activities with honesty, integrity, respect, fairness and good faith in a manner that will reflect well upon the profession; I.C. Comply with all laws and regulations pertaining to healthcare management in the jurisdictions in which the healthcare executive is located or conducts professional activities; I.J. Refrain from participating in any activity that demeans the credibility and dignity of the healthcare management profession; III.E. Be truthful in all forms of professional and organizational communication, and avoid disseminating information that is false, misleading or deceptive; III.G. Prevent fraud and abuse and aggressive accounting practices that may result in disputable financial reports; IV.A. Creating a work environment that promotes ethical conduct; VI. A member of ACHE who has reasonable grounds to believe that another member has violated this Code has a duty to communicate such facts to the Ethics Committee.*

The instructor may want to also consult ACHE's site regarding how to use the code (see https://www.ache.org/abt_ache/EthicsToolkit/UsingCode).

2. Are you concerned by HCA actions that led up to its guilty plea and multi-million dollar settlements? Why or why not?

Students may position themselves that they are not concerned, but this is rare. In the years I have used this example in class, I have had just a few students who took this stance. The ones who did made comments such as, "Everybody does it. It is part of business." "HCA probably made more than the fine amount; and healthcare is a business and we are all about profit." "Look at what happened to the CEO—he became a governor! This is a career enhancer!" So, though these

statements are rare, when they have occurred, they have spurred lively student discussions regarding ethical responsibilities of healthcare professionals.

For the overwhelming majority of students who say they are concerned, they refer to not only the ACHE ethical code but also to their own life experiences that have shaped their “character”—a word they have used often.

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CHALLENGE YOURSELF

1. Consider the lead-in quote by Isaac Asimov: “Never let your sense of morals prevent you from doing what is right.” What do you think it means? Give an example in which this might be true for you as you prepare to become a healthcare manager.

Students agree that the statement refers to instances in which what they individually believe may conflict with what they should do. They believe they should help a friend who is struggling in a course, but not to the extent of helping them cheat on an exam to perform well in the course, for

example. Students have offered the HCA case as an example to illustrate its pertinence to healthcare managers. While they do not want to be a “snitch,” they also realize that they have an obligation to report.

2. As a student in a healthcare management program, what do you consider as important factors in choosing where you would like to intern? Why are they important to you?

This question is with reference to the Case From the Field, “Becoming Professionals.” The purpose of this question is to get students to reflect upon why they are considering the intern sites they are thinking about and to begin seriously contemplating what type of healthcare site they would choose as their professional workplace.

3. Identify CSR activities conducted by your local health center, hospital, or clinic. Read the organization’s mission statement on its website. How do these CSR activities relate to its mission?

Potential answers that may be discussed include the following:

| <i>CSR and Healthcare Organization</i> | <i>Mission Statement</i> |
|--|---|
| <p><i>Social service and educational fairs— Greene County Health Care’s Fiesta Latina— discussed in the chapter and Portneuf Medical Center’s Brake for Breakfast, a free drive-through event in which drivers and car passengers receive a free take-out breakfast and information concerning breast cancer</i></p> | <p><i>Greene County Health Care: to ensure the availability of quality healthcare to all residents of Greene, Pitt, and Pamlico Counties and the surrounding rural area with an emphasis on providing health services to the underserved. Portneuf Medical Center: provides world class health care in collaboration with other community and</i></p> |

| | |
|--|--|
| | <p><i>regional providers (see www.portmed.org/about/mission-vision-values).</i></p> |
| <p><i>Providing care—Cleveland Clinic’s offering of free H1N1 vaccinations to employees and the community</i></p> | <p><i>Cleveland Clinic:</i></p> <p><i>to provide better care of the sick, investigation into their problems, and further education of those who serve.</i></p> |
| <p><i>Establishing better environmental performance—UnitedHealth Group’s Shred-All, Paperless Solutions, and other print programs, increasing the amount of paper recycled and reducing the amount of paper used</i></p> | <p><i>UnitedHealth Group:</i></p> <p><i>to help people live healthier lives and to help make the health system work better for everyone.</i></p> |

Relating to Mission:

The event allows GCHC to provide quality services (such as free health screenings and health-related information), which supports its mission to reach out to the underserved and the larger community.

The event allows Portneuf to provide information about breast cancer to the wider population. Anyone can come and get the free breakfast along with the information that is designed to encourage women in the region to engage in preventive care and monitor their health (e.g., get an annual mammogram). Best practices help to bring about the world-class healthcare.

The delivering of free vaccinations allows Cleveland Clinic to provide better care of employees and community to hopefully reduce the number who become sick.

Reducing paper use and increasing recycling allows UnitedHealth Group to help provide a better environment in which people live.

Other CSR activities will be found on the Internet. In particular, students enjoy searching locally for CSR initiatives “in their own backyard.”

FOR YOUR CONSIDERATION

3.1. ACHE offers an ethics self-assessment that may help you identify your ethical strengths and weaknesses. The results of this self-assessment should not be shared with others or in class. Take the ACHE Ethics Self-Assessment. Afterward, reflect on what you have identified as your strengths and weaknesses. What strengths do you want to build on, and what weaknesses do you want to improve?

Students typically have appreciated the exercise and noted that they found areas of “red flags” that they wanted to think about further. I have found this exercise to be worthwhile in-class time to introduce that our being aware of our own ethics helps us with excellence in patient care, respect for employees, corporate citizenship, and the appropriate use of resources. Class discussion is quite general in nature. That is, we don’t discuss, “What answer did you give?” Rather, the discussion is more about what integrity means in the profession.

3.2. In 2013, reality-TV celebrity Kim Kardashian gave birth at a hospital in California. Six hospital employees—none of whom were responsible for Kardashian’s care—had logged onto the hospital’s electronic health record system to view Kardashian’s personal

and medical information (McCann 2013). Under the Health Insurance Portability and Accountability Act (HIPAA) of 1996, patients have the right to confidentiality. HIPAA requires providers to protect patients against “reasonably anticipated” disclosures of personal information.

Assume you are an intern in this hospital, assigned to help the hospital administrator investigating the Kardashian confidentiality breach. The administrator has asked you to propose a guideline or procedure that you think may help prevent future breaches in patient confidentiality. According to the ACHE Code of Ethics, what are the healthcare executive’s responsibilities in the event of such a breach? What ideas will you propose for the guideline? How are your ideas supported by the ACHE Health Information Confidentiality policy statement?

Students may refer to ACHE’s policy statement for help as they prepare their answer (see www.ache.org/policy/hiconf.cfm). The core ethical issue in the event is that the patient’s individual right to privacy supersedes others desire to know. The healthcare executive’s responsibilities focus on this core (<https://www.ache.org/policy/hiconf.cfm>):

The American College of Healthcare Executives believes that in addition to following all applicable state laws and HIPAA, healthcare executives have a moral and professional obligation to respect confidentiality and protect the security of patients’ medical records. As patient advocates, executives must ensure their organization obtains proper patient authorization to release information or follow carefully defined policies and applicable laws in those cases for which the release of information without consent is indicated.

To this end, students’ guidelines have included the following:

- a. *Create a mandatory seminar that employees attend or view electronically that educates them on confidentiality and the sanctions that will be applied if violated.*
- b. *Engage the IT department to implement safeguards to limit medical record access to those involved with the patient's case.*
- c. *Audit time/date stamps regularly to ensure that compliance is followed.*
- d. *Communicate in the hospital in-house newsletter the importance of patient confidentiality.*
- e. *Communicate via unit head in each department that violation may result in termination of employment. Then, follow through with the termination if the event occurs.*

OTHER RESOURCES FOR INSTRUCTORS

Books

Meacham, M. R. 2015. *From Backpack to Briefcase: Professional Development in Health Care Administration*. Boston, MA: Cengage Learning. [Provides a hands-on, direct approach regarding professional development for those entering into the health administration profession.]

HBR. 2010. *On Managing Yourself*. Boston, MA: Harvard Business Press. [A collection of essays that encourage the reader to reflect upon her professional development and ethical stance.]

Journal Articles

The following Garman, Evans, Krause and Anfossi article about professionalism is elaborated in the chapter:

Garman, A., R. Evans, M. Krause, and J. Anfossi. 2006. "Professionalism." *Journal of Healthcare Management* 51 (4): 219–22.

Students may be interested in reading the other cluster of articles Garman and others published.

They are as follows:

Garman, A., T. Burkhart, and J. Strong. 2006. "Business Knowledge and Skills." *Journal of Healthcare Management* 51 (2): 81–85.

Garman, A., P. Butler, and L. Brinkmeyer. 2006. "Leadership." *Journal of Healthcare Management* 51 (6): 360–64.

Garman, A., K. Fitz, and M. Fraser. 2006. "Communication and Relationship Management." *Journal of Healthcare Management* 51 (5): 291–94.

Garman, A., and M. Johnson. 2006. "Leadership Competencies: An Introduction." *Journal of Healthcare Management* 51 (1): 13–17.

Garman, A., and L. Tran. 2006. "Knowledge of the Healthcare Environment." *Journal of Healthcare Management* 51 (3): 152–55.

Websites

Students may peruse other professional organization websites for information about their ethical codes and statements about professionalism.

American College of Health Care Administrators

www.achca.org/

[Nursing home administrators]

Association of University Programs in Health Administration

www.aupha.org

Healthcare Financial Management Association

www.hfma.org

Medical Group Management Association–American College of Medical Practice Executives

www.mgma.com



Chapter 3

Professionalism



Objectives

- Explain the concept of professionalism
- Discuss healthcare managers as ethical leaders
- Evaluate the role of healthcare managers in corporate social responsibility



Case from the Field: Becoming Professionals

- Illustrates variety of life experiences that affect career goal choice
- Demonstrates variety of careers available to a health administration major
- Provides concrete examples of students who are committed to becoming professionals



Definition of Professionalism

Professionalism: The knowledge, skills, ability, and conduct expected of practitioners of a profession

- “The ability to align personal and organizational conduct with ethical and professional standards that include a responsibility to the patient and the community, a service orientation, and a commitment to lifelong learning and improvement”



Competency Areas of Professionalism

- Understanding professional roles and norms
- Working with others
- Self-management
- Contributing or giving back

Achieving competency in these four areas is a step toward professionalism

More important, it familiarizes you to a multitude of concepts, including ethical standards, career evolution, continuing professional education, and serving others

Professionalism and Its Development at Different Career Levels

| | Entry | Middle | Senior |
|--|---|--|--|
| Definition | First position out of graduate school up to first level of leadership | “Manager of managers” roles up to service-line level | From vice president up |
| Competency Areas Understanding of professional roles and norms | Joining relevant professional associations, attending events, getting involved in committees | Maintaining professional activities, seeking out opportunities to observe and model senior-level norms | Striving to be a model of professionalism within one’s organization, encouraging professionalism of others |
| Working with others | Developing skills in giving and receiving feedback, strategically developing work relationships across organization | Cultivating working relationships across org., developing relationships with others in similar positions at other orgs., actively seeking/providing feedback | Cultivating feedback-rich environment, helping direct reports align career goals with organizational objectives, encouraging others to pursue professional development |

Professionalism and Its Development at Different Career Levels (cont.)

| | Entry | Middle | Senior |
|-----------------|---|--|--|
| Self-management | Developing balance between roles within and outside of work, actively planning and managing one's career | Maintaining an effective work–life integration, continuing to monitor and manage time and stress, planning for career and postcareer life | Ensuring that roles within and outside work blend effectively, actively planning postcareer transition, preparing successors |
| Contribution | Directly contributing one's time and resources to help others, seeking others to help develop one's expertise | Contributing expertise and resources, both within and outside the organization, through activities such as mentoring, writing/presenting, and advocacy | Role modeling and promoting the importance of contributing, developing a climate that facilitates others' contributions |



Corporate Social Responsibility

“Context-specific organizational actions and policies that take into account stakeholders’ expectations and the triple bottom line of economic, social, and environmental performance”



Corporate Social Responsibility (CSR)


- Corporations—such as hospitals, pharmaceutical companies, and healthcare clinics—play a significant role in creating social value in their communities
 - Some local health centers hold fairs for the public to educate about a disease and to provide disease screenings
 - Other healthcare organizations offer charity care to those who cannot afford services
 - Still others provide tuition reimbursement or free continuing education to their staff



Corporate Social Responsibility

The role of healthcare managers in CSR initiatives is threefold and illustrated by GCHC's Fiesta Latina:

1. Identify goals that meet the healthcare needs of the community and that fit with the organization's mission
2. Motivate stakeholders to get involved in initiatives
3. Plan and implement actions to ensure the initiatives are successful



Mini-Case Study:

Settlement in HCA Fraud Probe

1. If you were an HCA executive, what would have been your ethical obligation to prevent or report the fraudulent activities? What does *ACHE's Code of Ethics* say about this?
2. Are you concerned by HCA actions that led up to its guilty plea and multimillion dollar settlements? Why or why not?



Points to Remember

- Professionalism can be defined as the knowledge, skills, ability, and conduct expected of practitioners of a profession
- *Professional role* refers to the assigned and expected functions, responsibilities, and working relationships of the person in a professional position
- Corporate social responsibility is the “context-specific organizational actions and policies that take into account stakeholders’ expectations and the triple bottom line of economic, social, and environmental performance”
- The role of healthcare managers in CSR initiatives is threefold: (1) Identify goals that meet the healthcare needs of the community and that fit with the organization’s mission, (2) motivate stakeholders to get involved in initiatives, and (3) plan and implement actions to ensure the initiatives are successful