



INTERNATIONAL SOCIETY OF HEALTHCARE ETHICS AND COMPLIANCE PROFESSIONALS

## **ESG Workshop – Tutzing, Germany – April 29/30, 2024 Event Evaluation**

**Michael Bartke / Andy Gascard**

May 6, 2024

# Recap – Workshop Program



## MONDAY, APRIL 29, 2024

- 11.00 am Arrival
- 11.45 am Sandwiches in the foyer
- 12.30 pm **Opening and Welcome Address**  
*Michael Spieker*  
*Michael Bartke*  
Chair: *Dominique Laymand*  
Clifford Chance
- 12.50 pm **ESG regulations – challenges for Ethics and Compliance Professionals in healthcare industry**  
*David Rodin*  
Principia
- 1.25 pm **The status of ESG implementation (in healthcare industry) – a survey**  
*Andre Gascard*  
ETHICS  
*Frederic Poels*  
Johnson & Johnson
- 1.50 pm **ESG implementation – challenges in light of practical examples (business cases)**  
**1. Due diligence requirements in supply chain**  
*Thomas Voland*  
Clifford Chance  
**2. ESG related disclosure obligations**  
*Claudia Feick*  
PWC
- 2.25 pm **Changing role of compliance in a changing environment Past/Present/Future**  
*Hannes Oswald-Brügel*  
Roche
- 2.50 pm Networking Coffee Break
- 3.20 pm **Examples from industry: The way of ESG implementation**  
**1. Mercedes Benz Group**  
*Hendrik Heitsch*  
**2. Galapagos**  
*Stephanie Wingrove*  
**3. Janssen, Johnson & Johnson**  
*Tom Aelbrecht*
- 4.25 pm **Panel discussion**  
**What can we learn?**

- Hendrik Heitsch*
- Stephanie Wingrove*
- Tom Aelbrecht*  
Moderator: *Thomas Voland*  
Clifford Chance
- 5.05 pm **Break out session**  
**What are the implications for Compliance organizations in light of ESG challenges?**  
Moderators: *Peter Dieners*  
Clifford Chance  
*Claudia Feick*  
PWC  
*Steffen Esche*  
PWC
- 5.55 pm **Results of the break out session**
- 6.15 pm **Closing session**  
Chair: *Dominique Laymand*  
Clifford Chance
- 7.00 pm Networking Dinner at Seestüberl

- Peter Dieners*  
Clifford Chance
- 2. governance (structure/management)**  
*Claudia Feick*  
PWC  
*Steffen Esche*  
PWC
- 10.05 am Networking Coffee Break
- 10.35 am **Panel discussion**  
**The new role of Ethics and Compliance professionals**  
*Klaus Schellberg*  
Lutheran University of Applied Science  
*Dominique Laymand*  
Clifford Chance  
*Uwe Broch*  
Voluntary Self-Regulation of the Pharmaceutical Industry  
*Bella Hovhannisyán*  
CSL Behring  
Moderator: *Steffen Esche*  
PWC

## TUESDAY, APRIL 30, 2024

- 7.45 am Breakfast  
Check-Out until 8.45 am
- 8.30 am **Good Morning – the program**  
Chair: *Dominique Laymand*
- 8.45 am **Aspects for a new role of Ethics and Compliance**  
**a) Creating value, ethical decision taking – some thoughts**  
*Klaus Schellberg*  
Lutheran University of Applied Science  
**b) Trends in organisations**  
*Steffen Esche*  
PWC  
*Claudia Feick*  
PWC
- 9.35 am **ESG approaches for organisations – what is different?**  
**1. in comparison to “classical” ABC compliance**

- 11.05 am **Which concrete measures are required to embed ESG into the governance?**  
*Peter Dieners*  
Clifford Chance
- 11.40 am **Break out session**  
**Creating value, a roadmap. (Most important topics? How to achieve?)**  
Moderators: *Steffen Esche*  
PWC  
*Claudia Feick*  
PWC
- 12.35 pm **Results from break out session**
- 12.55 pm **Sum up – What did we learn?**  
*Michael Spieker*  
*Michael Bartke*  
Chair: *Dominique Laymand*
- 1.15 pm **Farewell – end of the workshop**
- 1.30 pm Sandwiches in the foyer, Departure

Ecological, social and corporate sustainability is gaining more importance for companies through new legislations on the European as well as national level. The new ESG (environmental, social, governance) regulation in Europe represents new challenges for companies, organisations and their representatives. Structural changes, process changes and behaviour changing will be necessary.

The new ESG regulations will heavily influence the reporting and analyzing obligations for most companies in Europe. How can the ethics and compliance function support the evolution of ESG programs in Healthcare companies? This international, interactive ESG workshop will answer the questions and cover:

- Benchmarking the practical approach taken by healthcare and other companies, small and large, to bring ESG programs to life. To which existing functions are ESG responsibilities allocated (ethics and compliance, legal, finance, sustainability or full integration into business functions)?

Dominique Laymand  
*Clifford Chance*



## Organization Committee

- Michael Bartke
- Holger Diener
- Peter Dieners
- Diva Duong
- Steffen Esche
- Claudia Feick
- Dominique Laymand
- Frederic Poels
- Thomas Voland
- Stephanie Wingrove

- Polling Questions
  - 4 are addressed in this summary
- Event Evaluation Form
  - Conducted straight after the event closure
  - 10 questions,
    - 9 multiple choice with predefined answer options
    - 1 free text answer (question 10)
  - Technology: Google Forms, QR code provided on the last slide
  - 37 responses received

# Executive Summary – part I

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## 1. Overall Very Positive Reception:

,Excellent' – ,Perfect' – ,Wonderful' – ,Great' – ,Interactive'

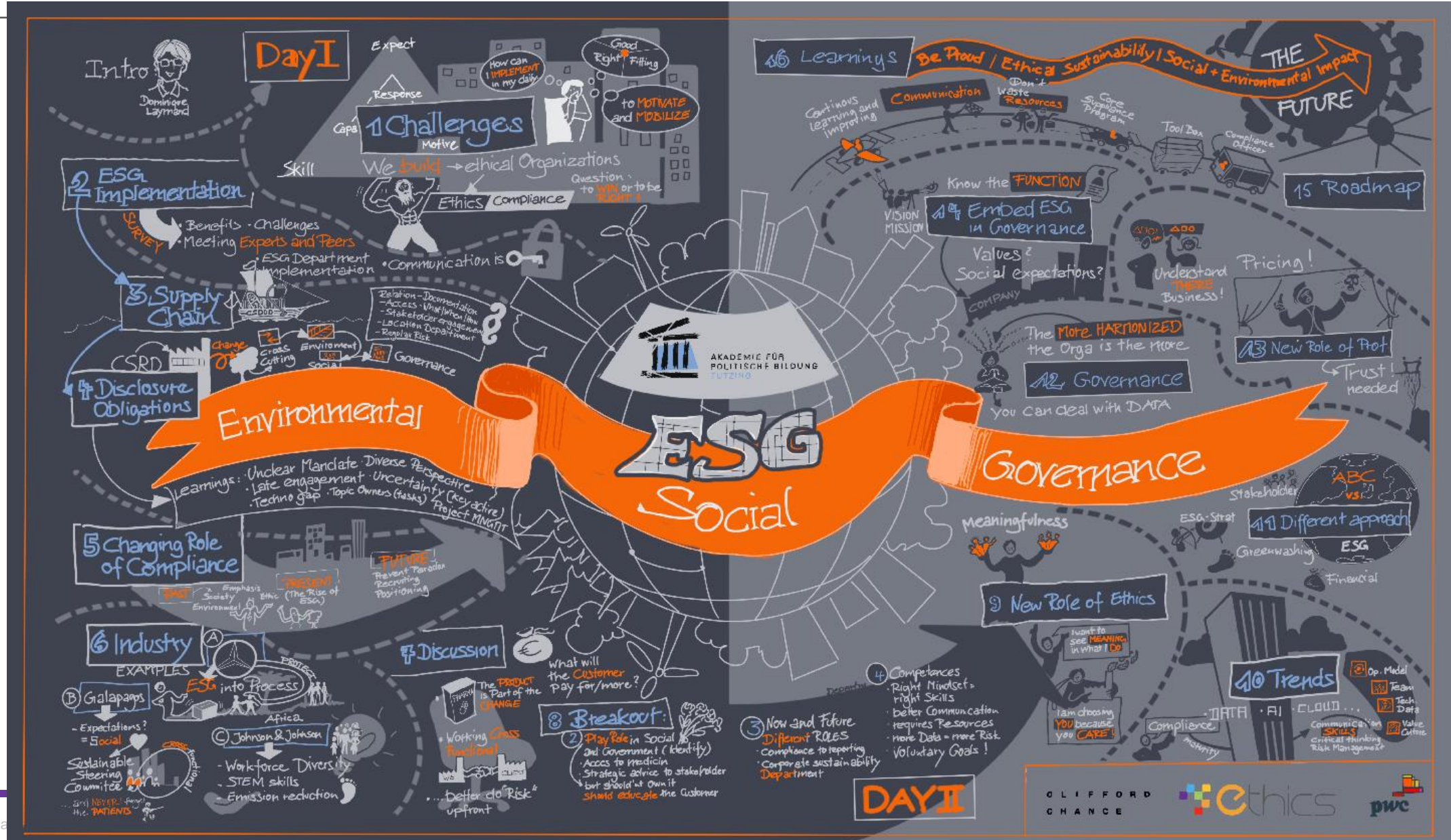
## 2. Things to consider for next occasions

- Need for More Networking Opportunities
- Need for follow-up sessions and more frequent events
- More "share & learn" sessions
- Allow more time for in-depth discussion
- Fewer speakers from consulting companies and more from various industries

# Executive Summary – part I

- 47 people attended: Belgium, France, Germany, Switzerland, United Kingdom
- 29 Pharma / MedTech companies
- 7 Association / Law Firms / Consultants
- Lively and fruitful discussions / very active interaction during breakout session and networking breaks
  
- After meeting activities
  - 15. May – send out all presentations to all participants
  - 23. May – send out CEU certification docs
  - In progress for dissemination:
    - Update ETHICS Website with workshop outcome
    - Link to ETHICS Website including application feature <https://www.ethicspros.com/join-us/>
    - Results of breakout sessions
    - Some pictures of the event
    - More detailed summary and key take aways of the workshop

# Executive Summary – part II



# “When you think about the next upcoming ESG efforts / implementations in your company, what is your spontaneous personal gut felling?”

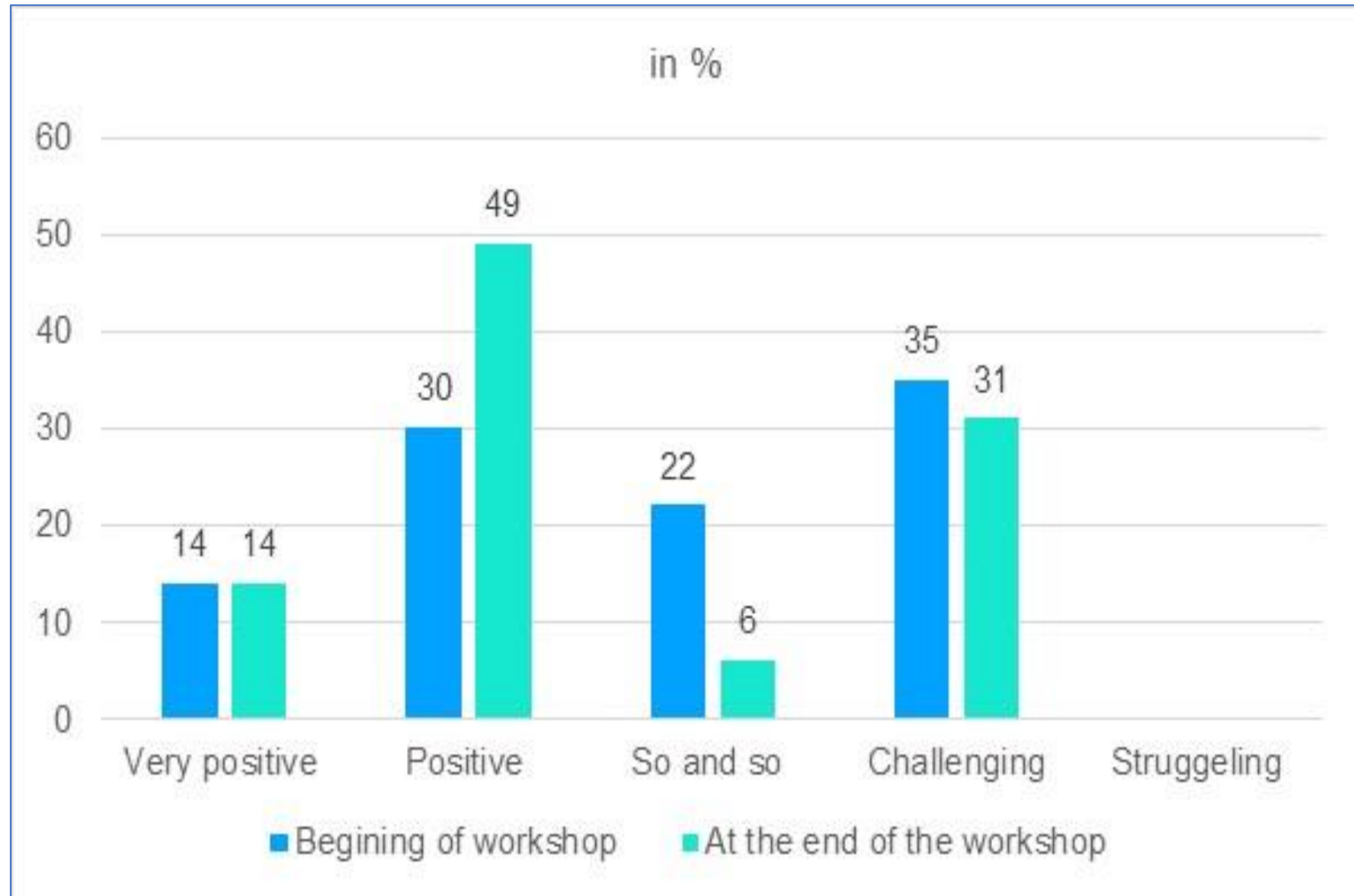


... at the end of the workshop:

“Now, 24 hours later: When you think about the next upcoming ESG ... “

## Take away

- Significant shift to the positive side
- This workshop was needed to gain trust and confidence
- This workshop built a networking platform





# “On which maturity level do you currently see your compliance program in your company?” and “... in the future? What is the ambition?”



These 4 levels are according to a PwC publication “The Future of Compliance in the Pharmaceutical Industry”.

## Take away:

- Ambition is clearly towards Compliance 3.0 and 4.0
- Periodical surveys may show trending and reality over time



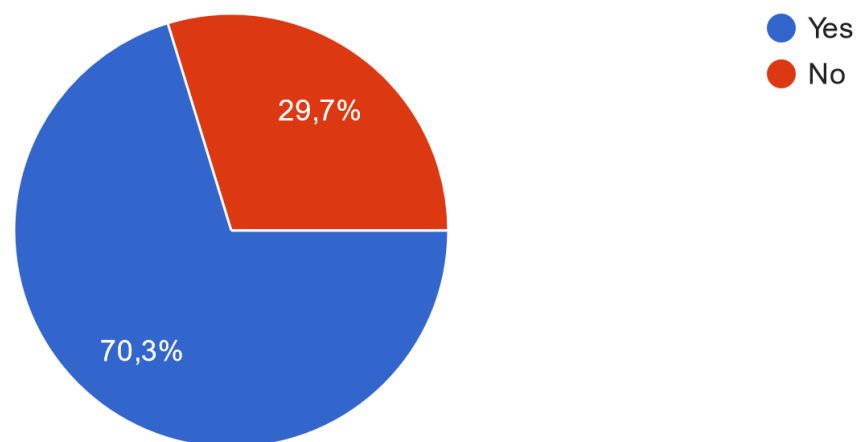
## Comment from the audience:

Level 4.0 should be labeled as “Ethics & Responsivity driven”

# Question 1

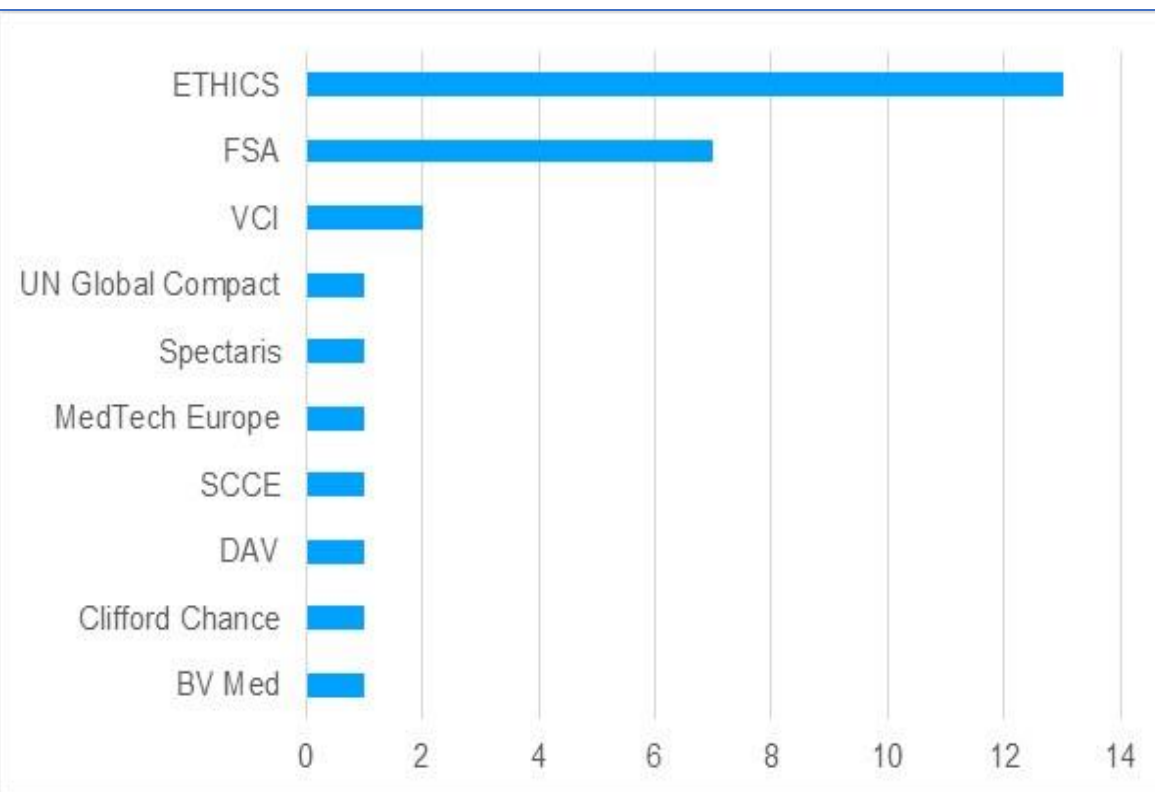
1. Are you a member of any compliance or industry association(s)?

37 Antworten



1.1 If yes, please provide association(s) name

26 Antworten



## Take away

- More than 2/3 of participants are a member of a compliance or industry association
- The 29,7 % responses might be employees of Law Firms and/or Consulting Companies
- Majority are ETHICS (13 out of 29 = 45 %) and/or FSA (Voluntary Self-Regulation for the Pharmaceutical Industry, Germany) (7 out of 29 = 24 %) members

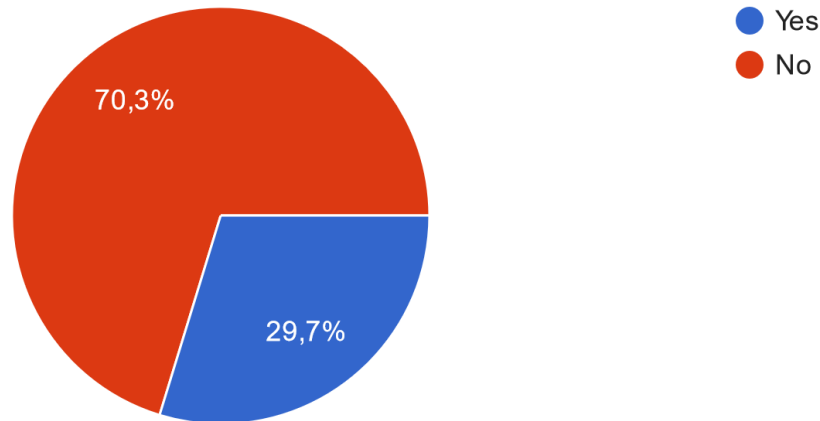
### Note:

- 'Antworten' means 'Responses'
- Some questions allow multiple answer options

# Question 2 and 3

2. Did you attend already other multi company events / workshops dedicated to ESG matters?

37 Antworten

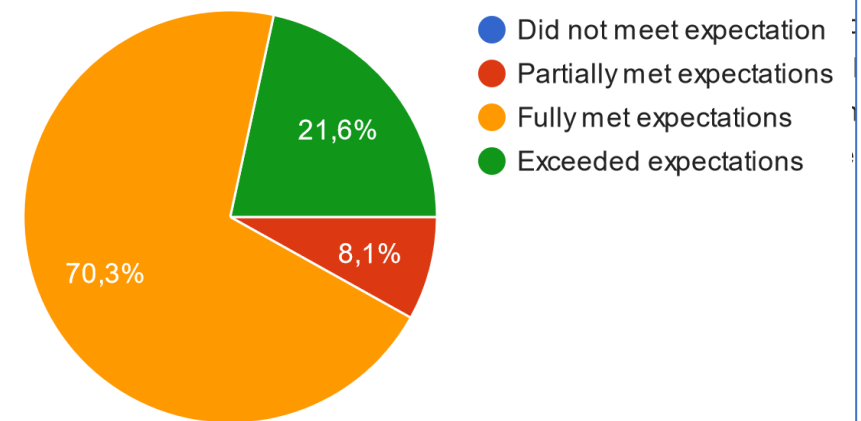


## Take away

- Q2: 70 % of participants have not yet attended any ESG related event / workshop
- There seems to be a greater need for such events, even when participant rate was low this time.

3. You attended this ESG workshop. To what extent did this ESG workshop meet your expectations?

37 Antworten



## Take away

- Q3: 92 % favorable responses
- This event hit the “nail on the head”

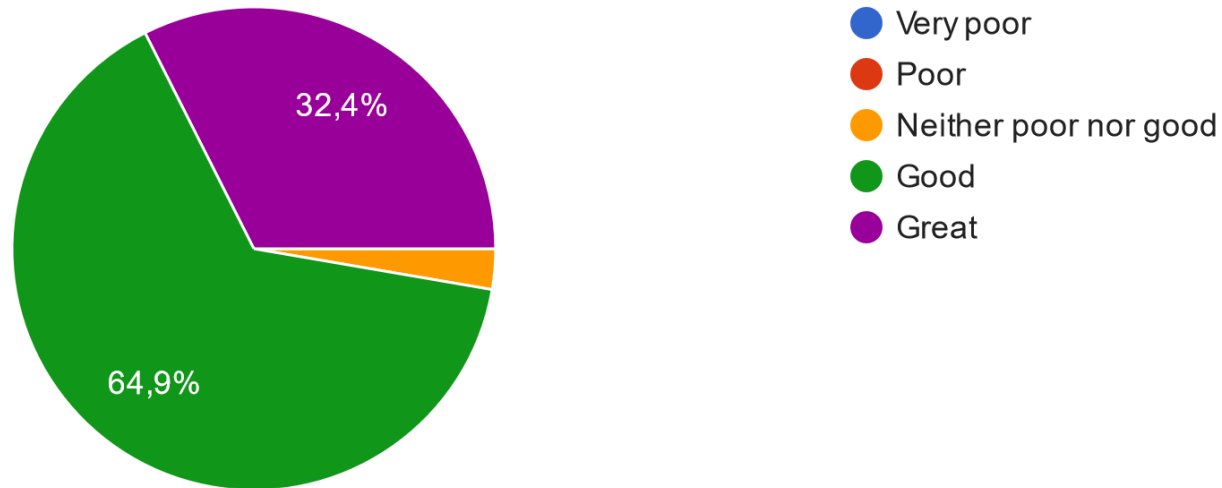
### Note:

- ‘Antworten’ means ‘Responses’
- Some questions allow multiple answer options

# Question 4

4. How would you rate the presentation technology during this ESG workshop? Meeting room, audio, video, etc.

37 Antworten



## Take away

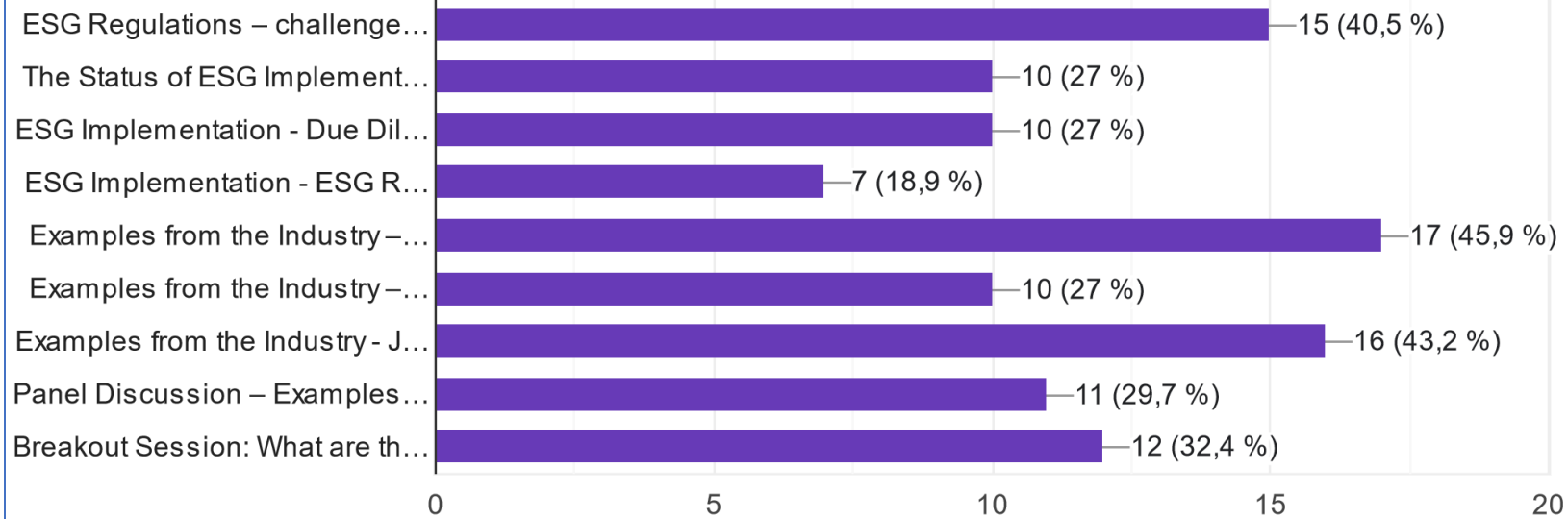
- Fantastic location and facility for such hands-on working activity.
- Great countryside
- An hour away from the intercontinental Airport of Munich, Germany

### Note:

- 'Antworten' means 'Responses'
- Some questions allow multiple answer options

# What was the most useful / helpful / enjoyable element of this ESG workshop? – Q 5,6

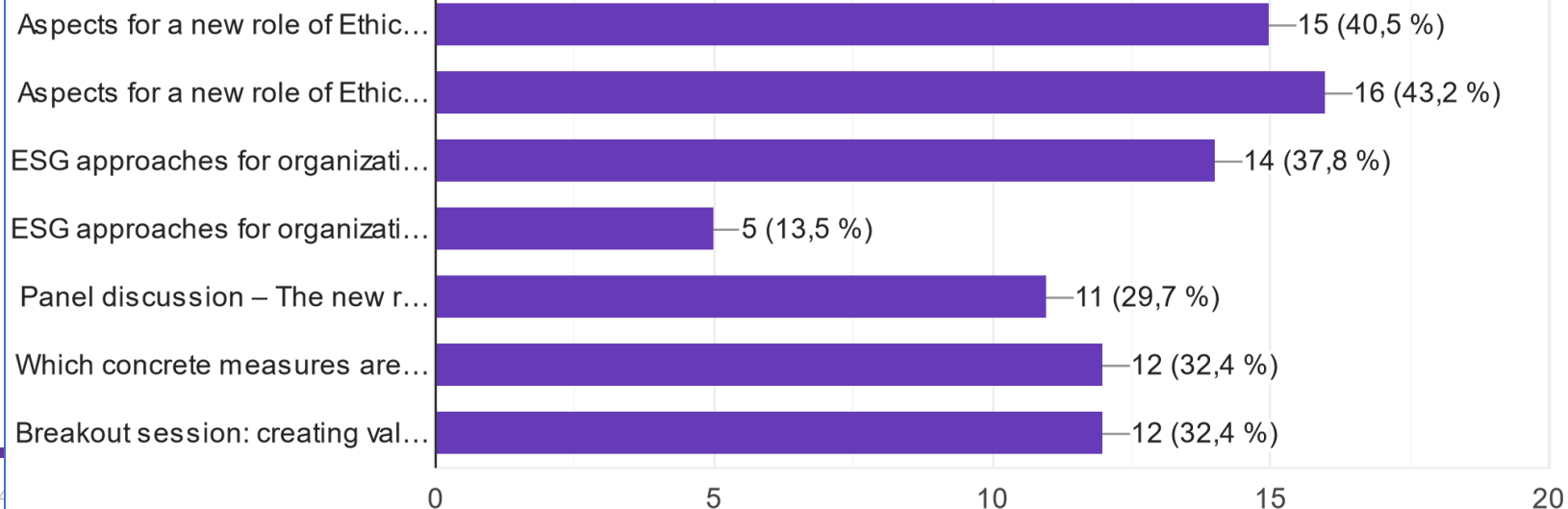
Day 1 –  
select up to 3 subjects



## Take away

- Industry examples and ESG regulations (challenges for Ethics and Compliance Professionals) were the most favorable subjects
- Followed by the breakout session ‘What are the implications for compliance organizations in light of ESG challenges’

Day 2 –  
select up to 2 subjects

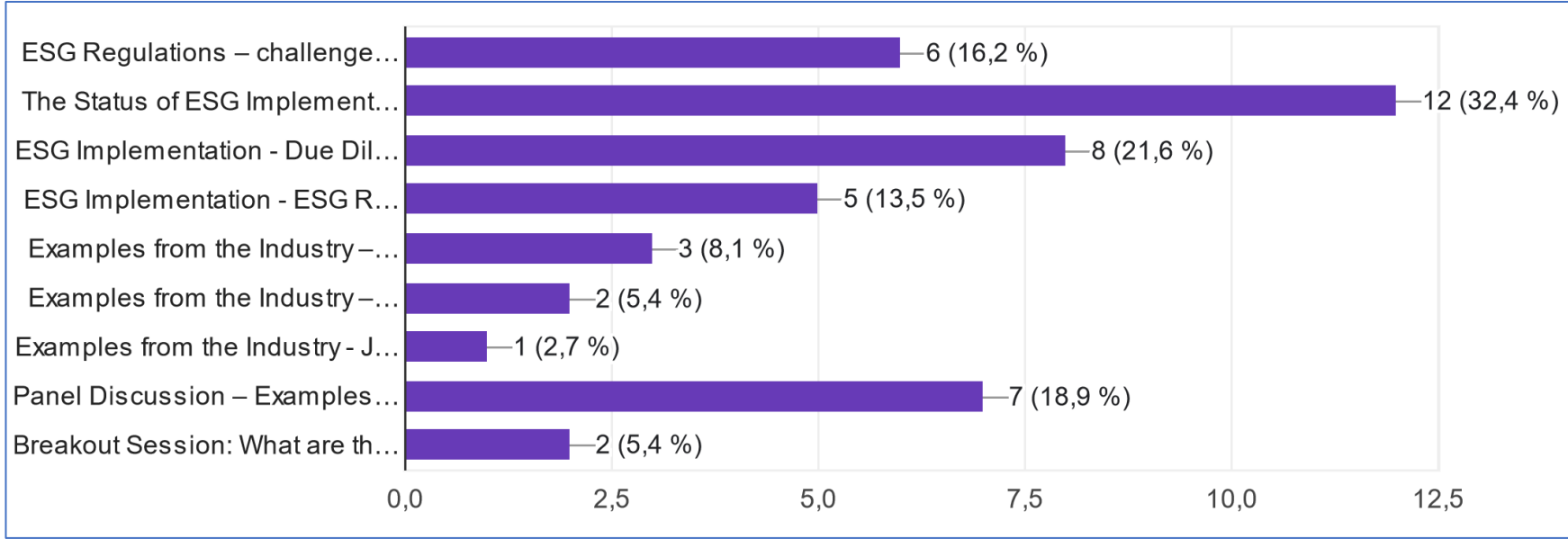


## Take away

- ‘Aspects for a new role of Ethics and Compliance’ were most favorable
- About ‘ESG approaches’ the aspect of ‘comparison to classical ABC compliance’ had a high importance

# What was the least useful / helpful / enjoyable element of this ESG workshop? – Q 7,8

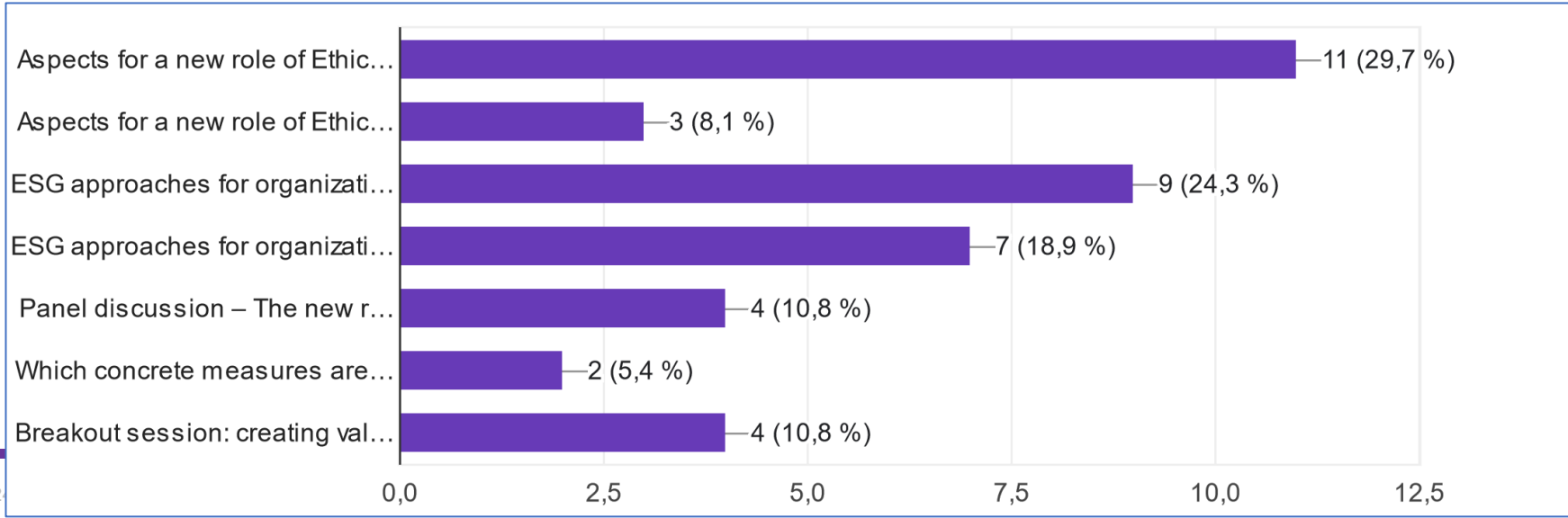
Day 1 –  
select up to 3 subjects



**Take away**

- 1/3 of audience considered 'Status of ESG Implementation (in healthcare industry), a survey' least useful, ...
- Survey results showed an obvious issue around ESG and Compliance and the triggering factor for such an ESG workshop

Day 2 –  
select up to 2 subjects

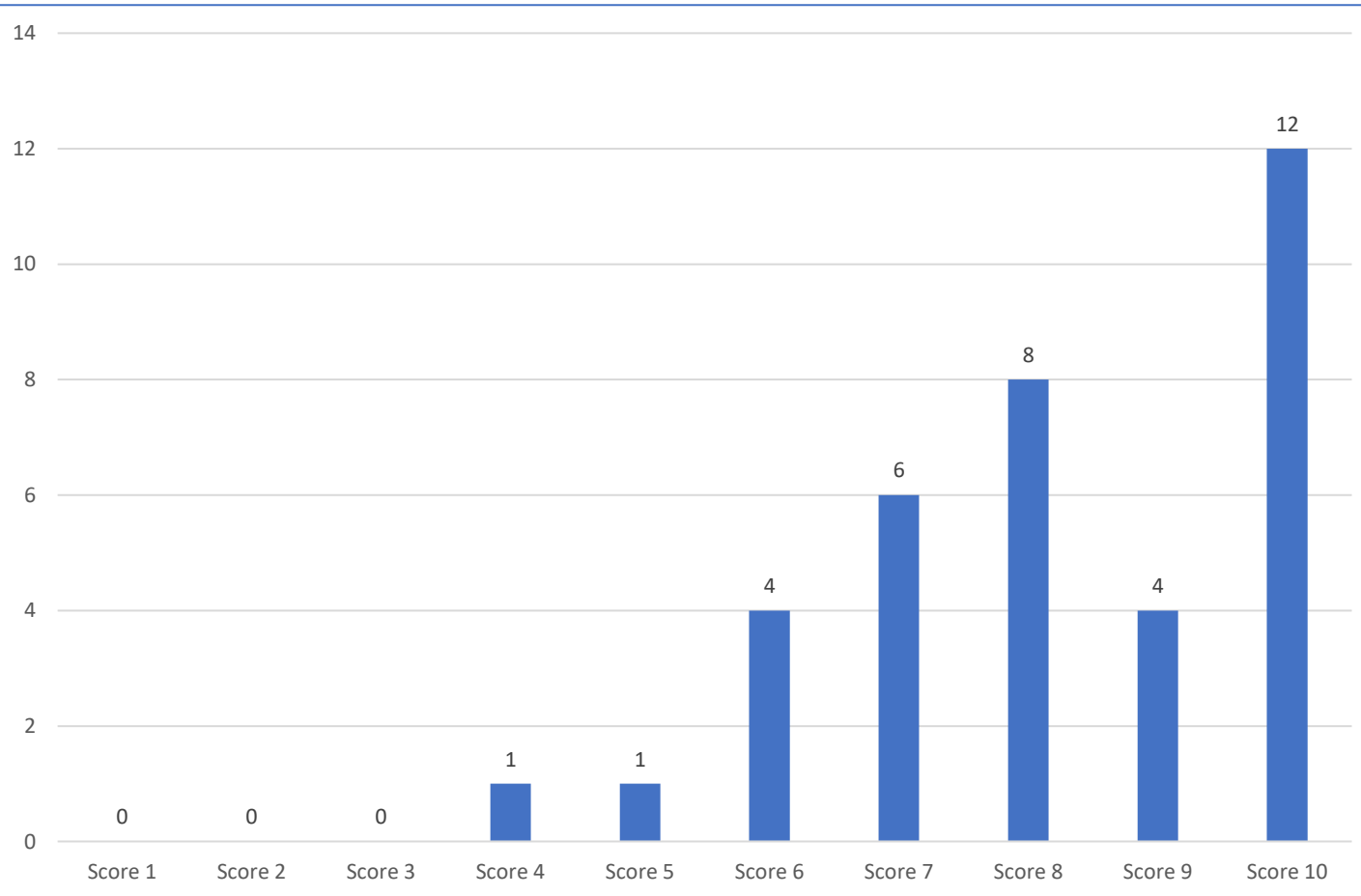


**Take away**

- 'Aspects for a new role of Ethics and Compliance' – significant difference between 'create value, ethical decision taking' (1<sup>st</sup> bar) and 'trends in organizations' (2<sup>nd</sup> bar)

# Question 9

How useful is the graphical recording / visualization we present per day? – see illustration ‘Executive Summary – Part II’



Not useful at all

Extremely useful



**Take away**

- 36 responses
- 24 (66 %) scored 8 or higher

## Q10 – Please provide any other general feedback about this ESG workshop organized by Academy of Civic Education and ETHICS, including any suggestions how we can add more value to participants of future ESG workshops.

### 37 Responses

It was perfect.

This was a wonderful event not easy to match.

Interactive excellent Workshop

Great conference, thanks a lot

Great seminar, I have learned a lot! Good conversations with the delegates.

Overall, very insightful sessions

Great event

Need to be followed by other sessions

Congratulations for this great event! We shall definitely host another roundtable in Tutzing in 2025. You have my full support!

Great venue, once organize another event here.

Great location!

It was a great workshop, very intense. I enjoyed the interactive sessions very much.

Next time please provide water during the sessions.

A little more water and coffee at all time would have been nice.

It would be great if water / drinks would have been provided next to / in the conference room.

Leave more time for discussions and networking during the day

Do less topics / presentations, more focused and more time for discussion

Allow for more networking breaks

Make sure there are more (short) breaks in between

More breakouts, more panels, less consulting company speakers, more industries

Less is better. It's better to have fewer presentations but more time. Some rushed through too quickly. Please no more advertisement content like those from Mercedes. Otherwise, good event, thank you very much.

With topics like ESG it could have been helpful to make sure everybody is aware of the same meaning of key words.

CSRD Report

It was an amazing workshop. Very insightful. I like the design of the workshop: different activities. I would love to have more panel discussions with practical examples

Do deep dive on reporting and how to coordinate, maybe talk about tools and platforms.

- Great settings, in particular the short length of each session, max. 30 to 45 min
- Add more time for Q&A
- Bring experts more often together for 'share & learn' sessions.

Deeper dive on select sections of ESG on which compliance function don't have better understanding.

Good length, nice place, enough interactions and flexibility (hours, break out sessions outside)

Great insights and networking, very good mix of compliance, healthcare and outside perspective, sometimes a bit too abstract, little more breaks and supply of water would help to keep energy levels up

I appreciated very much all the topics presented at the workshop. The analysis of all the relevant details was very accurate. Glad to have taken!

Thank you! I have learned a lot, both from the pre-reading and attendance. I did not want to select any least useful items because all topics were interesting and relevant. The venue is lovely, and good value for money. All the contributors have interesting insights.

Overall great balance of topics , panel discussions, and networking.



# Take Away of Question 10

## 1. Overall Very Positive Reception:

- Many participants described the event as perfect, wonderful, and insightful.
- The interactive nature and well-chosen venue received specific praise.

## 2. Suggestions for Better Amenities:

- Several attendees requested better provision of water and coffee during sessions.
- Providing drinks directly in the conference room was a repeated suggestion.

## 3. Need for More Networking Opportunities:

- Participants expressed a desire for more time dedicated to networking.
- Suggestions included more frequent and longer breaks to facilitate discussions.

## 4. Adjustments to Session Structure:

- Attendees suggested fewer topics and presentations to allow more time for in-depth discussion.
- More focused sessions with additional time for Q&A and panel discussions were recommended.

## 5. Diverse Speaker and Content Preferences:

- There was feedback to include fewer speakers from consulting companies and more from various industries.
- Some participants suggested deeper dives into specific topics like ESG, reporting tools, and compliance functions.

## 6. Future Sessions and Follow-ups:

- Several comments highlighted the need for follow-up sessions and more frequent events.
- Bringing experts together for "share & learn" sessions and more panel discussions with practical examples were highly requested.

- **Digest evaluation results**
- **Align on Executive Summary and Take Aways per question**
- **Take evaluation outcome as critical source to organize ESG conferences in the next 12 to 18 months**
  
- **Recommendation**
  - **Under the direction of ETHICS conduct a follow-up activities within 6 to 7 months from now – e.g. HETHICO 2024, ETHICS 2024 Annual Summit**



... some impressions of lively and fruitful conversations.



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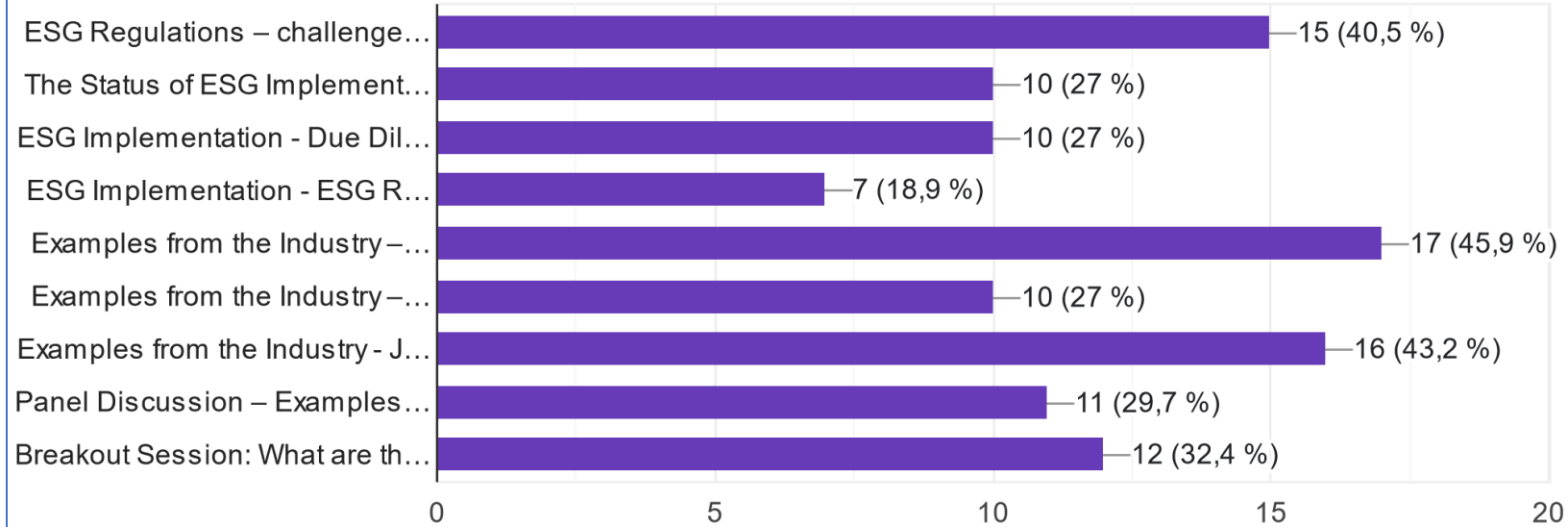
# See you soon ...





# What was the ... useful / helpful / enjoyable element of this ESG workshop?

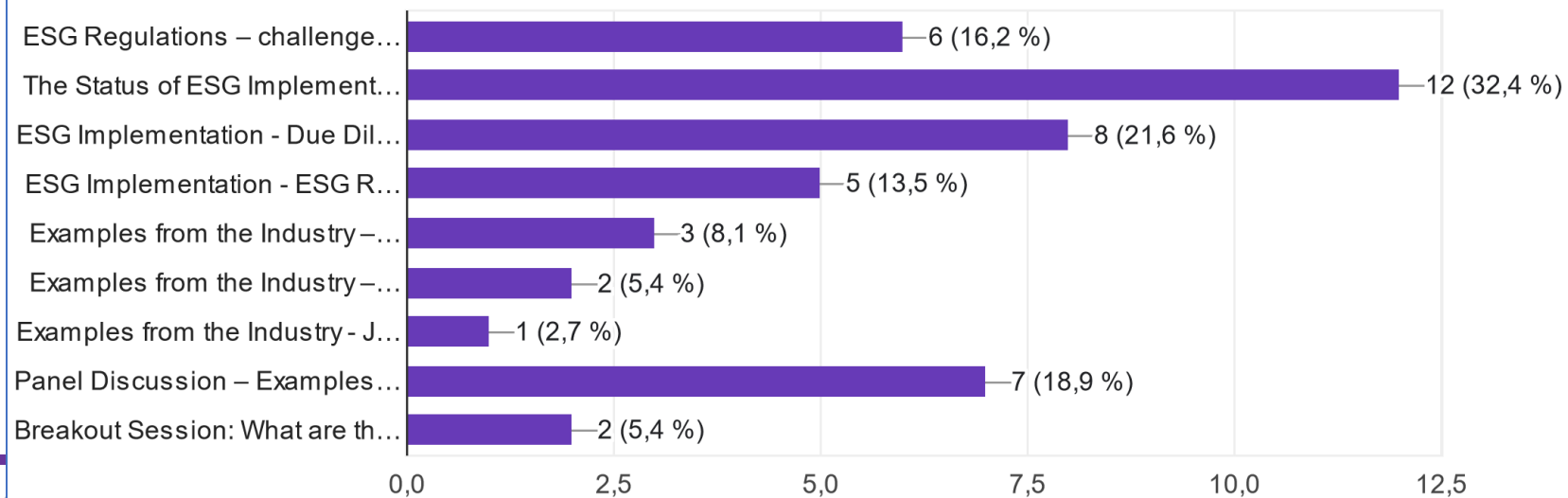
... most ...  
select up to 3 subjects



## Take away

- +9
- -2
- +2
- +2
- +14 – Heitsch
- +8 – Wingrove
- +14 – Aelbrecht
- +4
- +10 – Breakout session

... least ...  
select up to 2 subjects

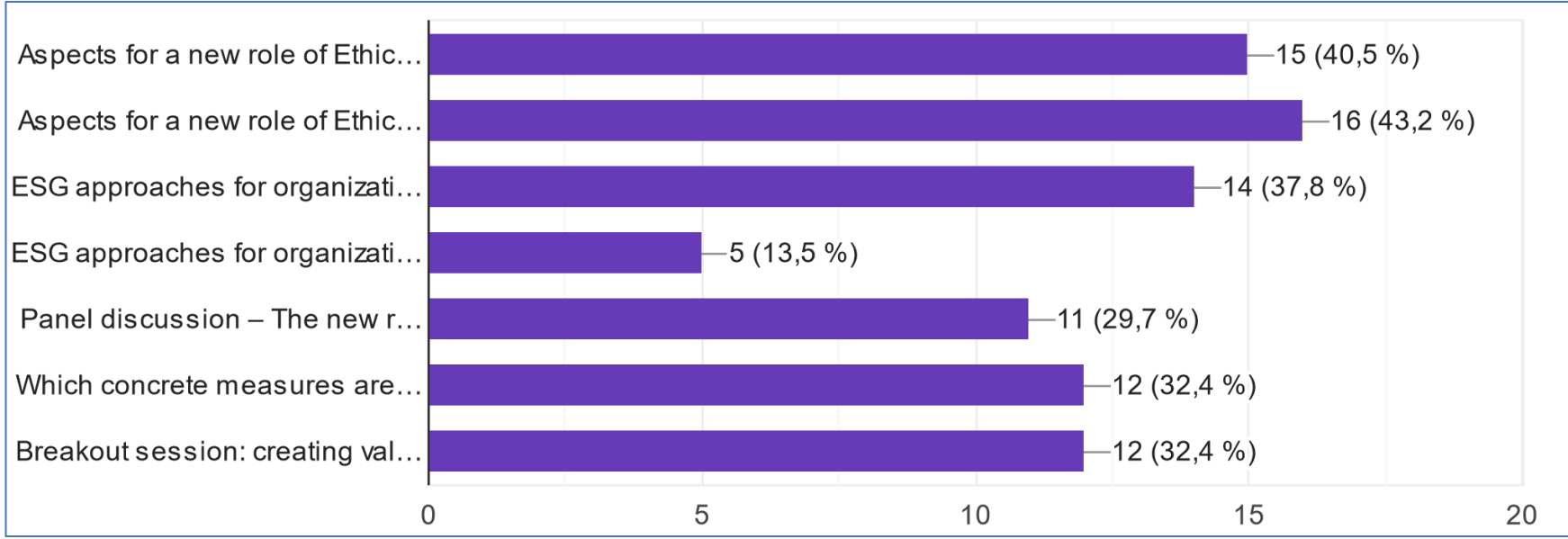


## Take away

-

# What was the ... useful / helpful / enjoyable element of this ESG workshop?

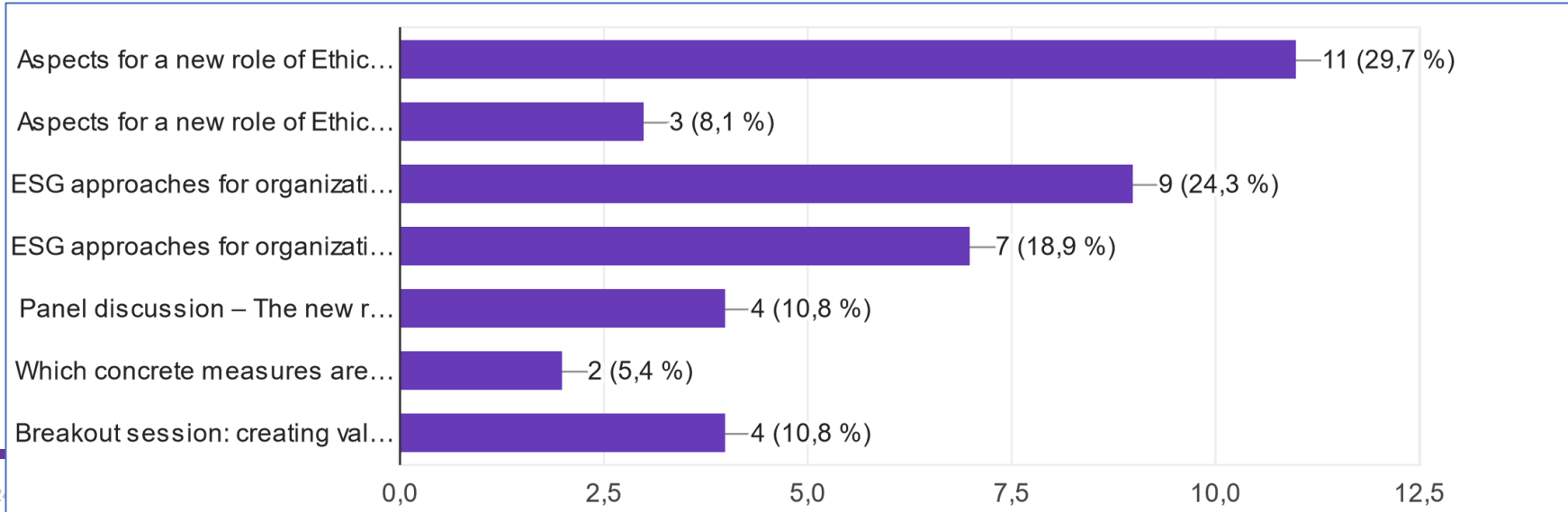
... most ...  
select up to 3 subjects



**Take away**

- +4
- +15 – Dieners
- +5
- -2
- +7 – Kim-Reinhartz
- +10 – Dieners
- +8 – Breakout session

... least ...  
select up to 2 subjects



**Take away**