

<b>STATEMENT of POLICY and PROCEDURE</b>			
Policy Name:	<b>Sigrid Droste Ethics Award</b>	Approved:	Jan 20, 2022
Policy Type:	Board of Directors	Effective:	Jan 20, 2022
Scope:	Award decision making process and presentation	Next Review:	Jan 2024
Issued to:	Board of Directors, Annual Meeting Committee, and Secretariat	Responsibility for review:	Executive Director

**1 POLICY**

- 1.01 The Sigrid Droste Ethics Award was established in memory of Sigrid Droste. Coming from an initial background in Medical Geography and Cartography Sigrid Droste found her way through medical information retrieval to Health Technology Assessment (HTA). Being chronically ill herself, the problems of translating evidence into everyday patient care were her daily necessity. This led to her main interest in the ethics of HTA where she achieved a high level of expertise. In her last 13 years Sigrid worked as a senior research associate at the Institute for Quality and Efficiency in Health Care (IQWiG), the German HTA body. Based on her detailed understanding of HTA and ethics, she developed the concept for early systematic assessment of the ethical implications of innovative health technologies, referred to as “Ethics Check”. As an organizational member of the HTAi Network, she was a founding member of the HTAi Ethics Interest Group, where she played a leading role in establishing the field and methods of ethics in HTA. Additionally, she was the driving force behind the initiation and development of the HTAi SuRe Info which brings together in one place information of interest about HTA produced by different Interest Groups from HTAi. Up to and including the last days of her life, Sigrid was not afraid to challenge conventional thinking and traditional postulates and she defended her positions with both tenacity and eloquence. Sigrid’s last wish was to endow an Award for Ethics in HTA. The funds for the Ethics Award in HTA come from Sigrid herself as part of her will. HTAi is very grateful to Sigrid for her considerable efforts and contributions to ethics in HTA and for having the generosity of spirit to endow a legacy gift to recognize others who have made important contributions in this regard.
  
- 1.02 The Sigrid Droste Ethics Award recognizes Society members in good standing who are making or have made important contributions in ethics in HTA.
  
- 1.03 This is a monetary Award that has three tiers:
  - (a) Level 1/Tier 1 award of €2000.00
  - (b) Level 2/Tier 2 award of €1000.00
  - (c) Level 3/Tier 3 award of €500.00
  
- 1.04 The Sigrid Droste Ethics Award will only be given in years when there is a suitable nominee(s) who fulfill the eligibility criteria of the Award and were nominated by an HTAi member in good standing. Award recipient(s) will be announced and recognized at the Annual Meeting of the Society.

- 1.05 A call for the Sigrid Droste Ethics Award will be made every November, except for in the inaugural year in which it will be in February. Any HTAi member in good standing can nominate an individual, member in good standing, for the Award.
- 1.06 Nominations must be submitted by deadline of December 15, except for the inaugural year.
- 1.07 The Ethics Interest Group (Co-)Chair(s) or designate will review all nominations to ensure their appropriateness. The (Co-)Chair(s) or designate may, at their discretion, invite others to assist in this review.
- 1.08 The Scientific Development and Capacity Building (SDCB) Committee shall evaluate the nominees and select the recipient(s) of the Award.
- 1.09 Recipients of the IJTAHC Award are not disqualified from receiving the Sigrid Droste Ethics Award. Recipients of the Sigrid Droste Ethics Award may also receive the award in consecutive years if the merit of their work and nomination are eligible.
- 1.10 Sigrid Droste's last wish was to endow an award for Ethics in HTA. An initial budget of €25,000 is available for this as of September 2021. HTAi expects an additional €10,000 in 2022 after other testamentary instructions have been completed. The prize will be offered as long as the budget allows.
- 1.11 In the event that the prize is discontinued before the budget is exhausted, the remaining budget will revert to the court-appointed executor. Changes to the monetary value of the Award and / or the runtime of this Award program shall be made by mutual agreement between HTAi and Sigrid Droste's family.
- 1.12 The Award fund can be supported by donations at any time.
- 1.13 HTAi will publicly advertise the Award and the possibility of supporting it through donations.

## **2 PURPOSE**

- 2.01 The Statement of Policy and Procedure provides details of the processes related to the Sigrid Droste Ethics Award.

## **3 SCOPE**

- 3.01 This policy applies to:
  - (a) The Board of Directors in its function of policy and funding oversight.
  - (b) Individuals awarded or nominated for the Sigrid Droste Ethics Award.
  - (c) The Ethics Interest Group that ensures nomination(s) are appropriate.
  - (d) The SDCB Committee that makes decisions on the bestowing of the Sigrid Droste Ethics Award.

- (e) The HTAi Secretariat that administers the program, executes the Annual Meeting, and disburses the funds and certificate to the awarded recipient(s).

#### **4 RESPONSIBILITY**

- 4.01 It is the responsibility of the HTAi Board of Directors to ensure the allocation of funds to the Award or to review and amend the Awards program on a regular basis and at least every two (2) years.
- 4.02 It is the responsibility of HTAi, as discharged by the HTAi Secretariat, to manage the endowment provided from the estate of Sigrid Droste. The funds that constitute the endowment will be transferred from the estate to HTAi in early 2022 and will be invested and otherwise managed by the Secretariat to ensure their sustainability. In doing so, the Secretariat will strive to ensure that there are sufficient funds to recognize outstanding work in ethics in HTA over an extended time period.
- 4.03 It is the responsibility of the Ethics Interest Group to review the nominations and approve them before the HTAi Secretariat distributes them to the SDCB for final evaluation and decision-making.
- 4.04 It is the responsibility of the Scientific Initiatives Manager or designate to provide the list of approved nominees for the Sigrid Droste Ethics Award to the SDCB Committee for evaluation and selection of the winner.
- 4.05 It is the responsibility of the SDCB Committee to make decisions on nominees and approve the awarding of the Award.
- 4.06 It is the responsibility of the Annual Meeting Manager or designate to issue certificates for all Awards recipients, and to ensure that payment is sent to the Award recipients.
- 4.07 It is the responsibility of the Executive Director or designate
  - i. To create a communication plan for the nominations;
  - ii. To manage and approve any operational changes to the enclosed forms and procedures.

#### **5 DEFINITIONS**

- 5.01 “**Recipient**” means the individual(s) who has received the Sigrid Droste Ethics Award.
- 5.02 “**Nominees**” mean the member(s) in good standing who have been nominated by an HTAi member in good standing for the Sigrid Droste Ethics Award.
- 5.03 “**Eligible Recipients**” mean individuals who are HTAi members in good standing and have been nominated by an HTAi member in good standing and who have completed or participated in the following areas:
  - i. Contributed to starting or significantly advancing the use of ethical reflection in HTA in an academic research community (university or university hospital), an HTA community (international, national HTA bodies), or in a national healthcare system.
  - ii. Contributed to methods for conducting ethics in HTA.
  - iii. Contributed to education in ethics in HTA to raise awareness and increase capacity.
  - iv. Shown exceptional contributions to HTA ethics through a combination of publications in a peer reviewed academic journal and conference activities

such as workshops, panel or plenary presentations; and organizational contributions such as leading ethics in HTA at an HTA agency.

## **6 REFERENCES and Related STATEMENTS of POLICY and PROCEDURE**

- 6.01 The SDCB Terms of Reference
- 6.02 Ethics Interest Group Terms of Reference

## **7 PROCEDURES**

### **7.01 Award Nominating Process in Inaugural Year Only**

- (a) On or around February 1 of 2022, a call for nominations for the Sigrid Droste Ethics Award will go live on the HTAi website and be promoted to HTAi Members. All nominations will be accepted from February 1 to February 28. The nominations must be submitted to the Secretariat by email. The Secretariat will compile the nominations in a report and submit this report to the Ethics Interest Group Co-Chairs on or around March 1.
- (b) The Ethics Interest Group (Co-)Chair(s) or designate shall review the nominations by March 15 and send their recommendations to the Secretariat. A key initial task for the (Co-)Chair(s) or designate will be the articulation of evaluation criteria to inform their recommendations. The (Co-)Chair(s) or designate will submit a recommendation for each nominee as to which Level/Tier the nominee should be eligible to win based on the merit of their submission.
- (c) By January 15, the Scientific Initiatives Manager or designate, in consultation with the Chair of the SDCB Committee, will circulate a call for interest among the SDCB Committee members to establish a working group to evaluate the nominee(s). This working group will consist of at least three (3) members of the SDCB Committee. The criteria for evaluators will be specified in the call for interest.
- (d) The Scientific Initiatives Manager or designate will provide the nominations and evaluation form to the established working group of the SDCB Committee on or around March 15. The Scientific Initiatives Manager or designate will collect the evaluation forms (Attachment B) from the working group by March 31. The SDCB working group will take the Level/Tier of Award for each of the nominees from the Ethics Interest Group's recommendation and make their final recommendation to the SDCB for the awarding decision.
- (e) A decision will be made by the end of March if the Award is given in that particular year.
- (f) At the proceeding meeting of the SDCB Committee but no later than May 1, the summarized results will be shared with all Committee members. The Committee will deliberate and vote on the Award recipient(s) and the degree of the Award. The SDCB Committee Chair may call a special meeting of the Committee for this purpose.
- (g) The Scientific Initiatives Manager or designate will notify the Annual Meeting Manager or designate of the Award recipient(s). The Annual Meeting Manager or designate will include the name of the recipient(s) in the Annual Meeting promotional

material. The Annual Meeting Manager or designate will create a certificate(s) for the recipient(s) of the Award.

- (h) The Scientific Initiatives Manager will inform the executor of the will of the nominees and the winners.

## **7.02 Award Nominating Process in Subsequent Years**

- (a) On or around November 1 of each year, a call for the Sigrid Droste Ethics Award nominations will go live on the HTAi website and be promoted to members. All nominations will be accepted from November 1 to December 15. The nominations must be submitted to the Secretariat by email. The Secretariat will compile all the nominations in a report and submit this report to the Ethics Interest (Co-)Chair(s) or designate by January 15.
- (b) The Ethics Interest Group (Co-)Chair(s) or designate shall review the nominations by February 15 and send their recommendations and the list of nominees to the Secretariat. The evaluation criteria used during the inaugural year may be used to inform the recommendations of the (Co-)Chair(s) or designate, or the criteria may be further refined at their discretion with approval from the Executive Director. The (Co-)Chair(s) or designate will submit a recommendation for each nominee as to which Level/Tier the nominee should be eligible to win based on the merit of their submission.
- (c) By January 15, the Scientific Initiatives Manager or designate, in consultation with the Chair of the SDCB Committee, will circulate a call for interest among the SDCB Committee members to establish a working group to evaluate the nominee(s). This working group will consist of at least three (3) members of the SDCB Committee. The criteria for evaluators will be specified in the call for interest.
- (d) The Scientific Initiatives Manager or designate will provide the nominations and evaluation form to the established working group of the SDCB Committee by March 1. The Scientific Initiatives Manager or designate will collect the evaluation forms (Attachment B) from the working group by March 15. The SDCB working group will take the for Level/Tier of Award for each of the nominees from the Ethics Interest Group's recommendation and make their final recommendation to the SDCB for the awarding decision.
- (e) A decision will be made by the end of March if the Award is given in that particular year.
- (f) At the proceeding meeting of the SDCB Committee but no later than April 1, the summarized results will be shared with all Committee members. The Committee will deliberate and vote on the Award recipient(s) and the degree of the Award. The SDCB Committee Chair may call a special meeting of the Committee for this purpose.
- (g) The Scientific Initiatives Manager or designate will notify the Annual Meeting Manager or designate of the Award recipient(s). The Annual Meeting Manager or designate will include the name of the recipient(s) in the Annual Meeting promotional material. The Annual Meeting Manager or designate will create a certificate(s) for the recipient(s) of the Award.
- (h) The President will contact Sigrid Droste's family to inform them of the nominees and the winners.

### **7.03 Awarding Process**

- (a) The Scientific Initiatives Manager or designate will contact the Award recipient(s) to inform them about the Award.
- (b) The Annual Meeting Manager or designate will coordinate the Award presentation at the Annual Meeting. Depending on the type of Annual Meeting (hybrid, virtual, in-person) the details of the Award presentation will be finalized by April 30.
- (c) Certificates to the winner(s) will be presented at the Annual Meeting if the winners attend in person. The Annual Meeting Manager or designate will mail (or email) the certificates no later than two weeks after the conclusion of the Annual Meeting to those winner(s) who could not attend the Annual Meeting in person.
- (d) The Scientific Initiatives Manager or designate will coordinate and ensure the winner(s) receive(s) the monetary amount given with the respective Award position no later than two (2) months after the conclusion of the Annual Meeting.

## **8 ATTACHMENTS**

Attachment A – Nomination Form

Attachment B – Evaluation Form

## **9 AMENDMENT HISTORY**

DD.MM.YYYY [Insert Summary of changes]