Maintaining Compliance Program Effectiveness on a Shoe-String Budget

John Goulart
SCCE Regional Conference
April 3, 2020

Agenda

• Review and discuss the strengths, weaknesses, opportunities, and threats of an effective compliance program,
• Whilst realizing how many items are budget-friendly, and
• Answer questions and address comments to ensure attendees have a great take-away to apply when they return to the office.
Compliance Program Assessment

Strengths, weaknesses, opportunities, and threats.

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<th>Internal</th>
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- Demonstrating knowledge of the intention of the law
- Employees understand how compliance impacts their practice or job duties

Weaknesses

- Lack of top-down support
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- Lack of proactivity

Opportunities

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- Continuous improvement to reduce or eliminate errors
- Ability to use professional organizations, consultants and peers as subject-matter experts
- Translation of regulations into meaningful guidance
- Ability to assess risk and apply it to decision-making
- Serving as a sounding board

Threats

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- Lack of response to whistleblowers and external requests
- Dissatisfied patients / visitors / customers / vendors
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