

Maintaining Compliance Program Effectiveness on a Shoe-String Budget

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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.

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Compliance Program Assessment

Strengths, weaknesses, opportunities, and threats.

	S Strengths	W Weaknesses
	O Opportunities	T Threats

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Compliance Program Assessment

Strengths, weaknesses, opportunities, and threats.

Internal	S Strengths	W Weaknesses
External	O Opportunities	T Threats

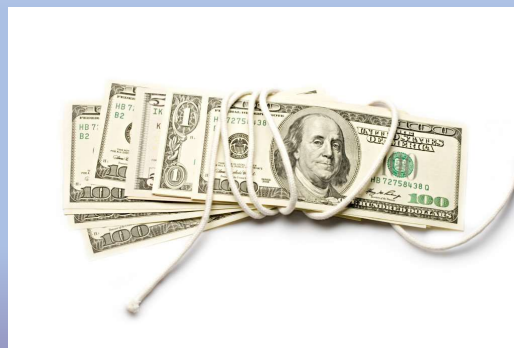
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Compliance Program Assessment

Strengths, weaknesses, opportunities, and threats.

	Helpful	Harmful
Internal	S Strengths	W Weaknesses
External	O Opportunities	T Threats

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Strengths

- Proactive identification, and mitigation of risks

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Strengths

- Proactive identification, and mitigation of risks
- Fosters the organization's culture, mission, and goals

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| | | |---|---| | S | W | | O | T | Strengths

- Proactive identification, and mitigation of risks
- Fosters the organization's culture, mission, and goals
- Viewed as a resource that inspires confidence

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| | | |---|---| | S | W | | O | T | Strengths

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- Viewed as a resource that inspires confidence
- Data-driven decision-making

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SWOT Strengths

- Proactive identification, and mitigation of risks
- Fosters the organization's culture, mission, and goals
- Viewed as a resource that inspires confidence
- Data-driven decision-making
- Sees the landscape of the organization

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SWOT Strengths

- Proactive identification, and mitigation of risks
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- Data-driven decision-making
- Sees the landscape of the organization
- Helps attract and retain talent and ensure employee engagement

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- Seeing both sides of a situation

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- Seeing both sides of a situation
- Demonstrating knowledge of the intention of the law

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- Viewed as a resource that inspires confidence
- Data-driven decision-making
- Sees the landscape of the organization
- Helps attract and retain talent and ensure employee engagement
- Seeing both sides of a situation
- Demonstrating knowledge of the intention of the law
- Employees understand how compliance impacts their practice or job duties

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| | | |---|---| | S | W | | O | T | Weaknesses

- Lack of top-down support

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SWOT Weaknesses

- Lack of top-down support
- Lack of independence

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SWOT Weaknesses

- Lack of top-down support
- Lack of independence
- Lack of expertise

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S W O T Weaknesses

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- Lack of independence
- Lack of expertise
- Lack of resources

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S W O T Weaknesses

- Lack of top-down support
- Lack of independence
- Lack of expertise
- Lack of resources
- Inability to facilitate

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SWOT Weaknesses

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- Lack of independence
- Lack of expertise
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- Inability to facilitate
- Seen as non-revenue producing

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SWOT Weaknesses

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- Compliance seen as the police

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- Lack of independence
- Lack of expertise
- Lack of resources
- Inability to facilitate
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- Compliance seen as the police
- Ethics not tied into program

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SWOT Weaknesses

- Lack of top-down support
- Lack of independence
- Lack of expertise
- Lack of resources
- Inability to facilitate
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- Compliance seen as the police
- Ethics not tied into program
- Failure to understand and address stakeholder wants and needs

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- Lack of expertise
- Lack of resources
- Inability to facilitate
- Seen as non-revenue producing
- Compliance seen as the police
- Ethics not tied into program
- Failure to understand and address stakeholder wants and needs
- Lack of proactivity

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SWOT Opportunities

- Dialogs and partnerships with external agencies and regulators

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S	W
O	T

Opportunities

- Dialogs and partnerships with external agencies and regulators
- Continuous improvement to reduce or eliminate errors

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S	W
O	T

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- Ability to use professional organizations, consultants and peers as subject-matter experts

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- Ability to assess risk and apply it to decision-making

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- Dialogs and partnerships with external agencies and regulators
- Continuous improvement to reduce or eliminate errors
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- Translation of regulations into meaningful guidance
- Ability to assess risk and apply it to decision-making
- Serving as a sounding board

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SWOT Threats

- Program is viewed as “ineffective” by external agencies

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SWOT Threats

- Program is viewed as “ineffective” by external agencies
- Lack of response to whistleblowers and external requests

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

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- Lack of response to whistleblowers and external requests
- Dissatisfied patients
- Fear of the unknown

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SWOT Threats

- Program is viewed as “ineffective” by external agencies
- Lack of response to whistleblowers and external requests
- Dissatisfied patients
- Fear of the unknown
- Program is faceless, remote, or behind the scenes
- Not watching the external environment