MOST VALUABLE COMPLIANCE SURVEY QUESTIONS

By Jillian Bower, MPA, Vice President of Compliance Resource Center

A compliance survey can be a powerful tool to measure the performance of your compliance program with the right questions. Anyone can develop a compliance survey; however, having the right compliance survey questions makes the difference between yielding powerful results and weak results. The key to developing a compliance survey is to ensure it is reliable, valid and credible.

Surveys that are developed and administered internally may be questions as potentially biased or unreliable. If you choose to develop and administer a compliance survey in-house consider the following tips.

✓ Establish a survey committee that will be responsible for managing all phases of the survey process; this should include design, implementation, communication to staff about the survey, data collection and reporting. Establishing an effective process will reduce the perception of bias and strengthen the reliability of the results.

✓ Involve a subject matter expert(s) (SME) in the survey committee. Their expertise should cover surveys, as well as healthcare compliance programs. It is preferable to have an outside SME.

✓ Define employees’ behaviors and knowledge that are necessary in order to measure the effectiveness of the organization’s compliance program. The compliance survey questions should be designed to include the most importance competencies as they relate to the compliance program.

✓ Compliance survey questions should yield results that provide information about the performance of the compliance program. Questions should focus on practical and real life factors derived from employees’ experience with the organization’s compliance program, as well compliance survey questions that relate to the design and management of organization’s compliance program.

Compliance survey questions are a powerful means to measure the performance of your compliance program. Crafting the right compliance survey questions can be a challenge. To be most effective, the survey must cover all compliance program elements considered essential to an effective program. Additionally, the survey committee must identify the type of survey, whether it is measuring the compliance culture or the employees’ compliance knowledge. Below are several compliance survey question examples.

COMPLIANCE SURVEY QUESTION EXAMPLES – COMPLIANCE CULTURE SURVEY

✓ My work provides me a great deal of personal job satisfaction.
✓ In conducting its business, I view our company as a leading force in the health care industry for ethics and compliance.
✓ Sufficient resources are not available to ensure quality care and services for customers/patients served by company.
✓ My supervisor provides me with clear directions concerning tasks, expectations and deadlines.
✓ As a rule, managers, supervisors and staff operate effectively as a team in getting the job done right.
✓ If some employees in my work group performed poorly, they would be subject to corrective action that is appropriate and fair.

COMPLIANCE SURVEY QUESTION EXAMPLES – COMPLIANCE KNOWLEDGE SURVEY

✓ Have you received a copy of the Code of Conduct?
✓ Do you know how to contact the Compliance Officer?
✓ Develop Effective Lines of Communication: Do you know how to access the compliance hotline?
✓ Are disciplinary standards readily available to everyone?
✓ Is it clear to you that the organization monitors and audits your offices operations?
✓ Are you aware of the Compliance Officer ever visiting your department to conduct a review or look into a compliance matter?

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