

## Compliance Today – July 2021 RCAs and CAPs essential to effective compliance programs

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By Betsy Wade

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Root cause analyses (RCAs) and corrective action plans (CAPs) are an essential part of having an effective compliance program. The U.S. Department of Health & Human Services Office of Inspector General (OIG) and the U.S. Department of Justice (DOJ) both include RCAs and CAPs in their guidance for compliance programs.

The Health Care Compliance Association in conjunction with the OIG held a roundtable meeting in 2017 to discuss ways to measure the effectiveness of compliance programs. The result of those efforts, *Measuring Compliance Program Effectiveness: A Resource Guide*,<sup>[1]</sup> provided ideas to measure the elements of a compliance program.

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