

Complete Healthcare Compliance Manual

Resource: Sample Checklist for Assessing Investigation Capabilities

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Personnel (select one)	Level of Experience (select one)	Subject Matter Expertise (select all that apply)
Human Resources personnel	___ None	<ul style="list-style-type: none"> • harassment
Employee Relations personnel	___ Conducted 1-5 investigations in the past year	<ul style="list-style-type: none"> • discrimination
Security personnel	___ Conducted 5-10 investigations in the past year	<ul style="list-style-type: none"> • retaliation
Auditors	___ Conducted more than 10 investigations in the past year	<ul style="list-style-type: none"> • general employee misconduct
Legal personnel		<ul style="list-style-type: none"> • safety violation
Ethics and Compliance personnel		<ul style="list-style-type: none"> • theft (company or employee property, improper use of
Forensics/IT personnel		<ul style="list-style-type: none"> • company credit card, theft of confidential information or trade secrets)
Persons responsible for corporate travel and expenses		<ul style="list-style-type: none"> • violence or threats of violence
Safety/occupational health personnel		<ul style="list-style-type: none"> • books and records irregularities
Other _____		<ul style="list-style-type: none"> • wage and hour matters
		<ul style="list-style-type: none"> • policy or Standard Operating Procedure violations
		<ul style="list-style-type: none"> • retaliation
		<ul style="list-style-type: none"> • conflicts of interest
		<ul style="list-style-type: none"> • bribery/corruption, including Foreign Corrupt Practices Act
		<ul style="list-style-type: none"> • fraud and abuse
		<ul style="list-style-type: none"> • website hacking or other external threat
		<ul style="list-style-type: none"> • substance abuse
		<ul style="list-style-type: none"> • other misconduct

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