

Corporate Compliance Forms and Tools Internal Investigation RACI Chart

Upon receipt of allegations or reasonable indications of suspected noncompliance or misconduct, the Company will conduct an investigation to determine whether a violation of applicable law or the requirements of the compliance program has occurred and, if so, will take steps to remediate the root cause of the issue and mitigate any potential damage. The following is a RACI chart with suggested roles related to internal investigations. (A RACI chart is a project management tool describing levels of involvement in a project as Responsible, Accountable, Consulted, and Informed.)

The chart below indicates suggested parties for each category. These can and should be customized and changed to fit the needs and practices of your own specific organization.

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