

Healthcare Compliance Forms and Tools

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)
<ul style="list-style-type: none"> • Human Resources • Employee Relations • Security • Auditors • Legal • Ethics and Compliance • Forensics/IT • Persons responsible for corporate travel and expenses • Safety/Occupational Health • Other 	<ul style="list-style-type: none"> • None • Conducted 1–5 investigations in the past year • Conducted 5–10 investigations in the past year • Conducted more than 10 investigations in the past year 	<ul style="list-style-type: none"> • Harassment • Discrimination • Retaliation • General employee misconduct • Safety violation • Theft (company or employee property, improper use of company credit card, theft of confidential information or trade secrets) • Violence or threats of violence • Books and records irregularities • Wage and hour matters • Policy or standard operating procedure violations • Retaliation • Conflicts of interest • Bribery/corruption, including Foreign Corrupt Practices Act • Fraud and abuse • Website hacking or other external threat • Substance abuse • Other misconduct

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