

# Healthcare Compliance Forms and Tools

## Sample Investigation Checklist

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### 1. Notify Appropriate Individuals

<input type="checkbox"/>	Privacy officer
<input type="checkbox"/>	Director
<input type="checkbox"/>	Vice president
<input type="checkbox"/>	CEO
<input type="checkbox"/>	Compliance committee
<input type="checkbox"/>	Board of directors
<input type="checkbox"/>	Other:

### 2. Timeline

<input type="checkbox"/>	Acknowledge receipt of complaint
<input type="checkbox"/>	Identify involved parties

<input type="checkbox"/>	Interview complainant
<input type="checkbox"/>	Inform accused supervisor
<input type="checkbox"/>	Prepare interview
<input type="checkbox"/>	Notify Human Resources
<input type="checkbox"/>	Inform accused
<input type="checkbox"/>	Patient notification
<input type="checkbox"/>	Office for Civil Rights (OCR) breach notification

### 3. Investigation Documentation

<input type="checkbox"/>	Interviews
<input type="checkbox"/>	Screenshots
<input type="checkbox"/>	Photographs
<input type="checkbox"/>	Audits
<input type="checkbox"/>	Baseline/behavior analytics
<input type="checkbox"/>	Electronic medical record documentation

<input type="checkbox"/>	Business associate agreement
<input type="checkbox"/>	Department processes/procedures
<input type="checkbox"/>	Employee Health Insurance Portability and Accountability Act training
<input type="checkbox"/>	Breach analysis/risk assessment

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