

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

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