



Health. Wellness. And Wonders.

## ORGANIZATION Compliance Concern Report Form

Today's date (date report filed):   /  /  

Your name: Title/Position: \_\_\_\_\_

Department/Program \_\_\_\_\_

**Mode of Contact:**

- Report to Supervisor  Hotline  Email
- Corporate Compliance Officer (Direct contact)  Walk-In  Organization phone line
- Letter or Note  Staff Meeting  Other \_\_\_\_\_
- Letter to Board or Chief Executive Officer  Compliance Training

**Source of Report:**

- Employee, Independent Contractor  Vendor/Subcontractor  Board Member
- Service Recipient/Family Member  Other Provider  Other \_\_\_\_\_

**Contact Confidentiality Status:**

- Anonymous  Confidential (Identified self)  Name \_\_\_\_\_  
Phone \_\_\_\_\_

**Type of Report:**

- Suspected Violation/Misconduct  Regulatory Inquiry  Organization P&P Inquiry  Ethical Business Practice

**Is this a question about the Corporate Compliance Program?** Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, indicate question here:

\_\_\_\_\_

\_\_\_\_\_

**Is this a suspected violation of the Corporate Compliance Program?** Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, answer the questions below: **(Attach additional sheets if necessary.)**

Please describe in as much detail as possible, the violation: *(Please be specific where the violation may have occurred)* \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

When did this occur?   /  /   Were you directly involved?

If yes, describe what you did:

Who else was directly involved? *(Names and positions, if known):*

- 1.
- 2.
- 3.

Is there any documentation or other evidence of the alleged violation? *Please describe/list or attach:*

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Approved: 04/18/2024

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Has the reporter discussed this issue with anyone else within the Organization? Please list by name and position:

- 1.
2.
3.

Has the reporter discussed this with others outside the Organization? Please identify by name and relationship:

Completed by: Title:
Signature: Date:

Forward completed form to the Corporate Compliance Officer

For Use by Compliance Officer:

Follow Up:

Reported to Corporate Compliance Officer: By: Date: Time:
Reported to Chief Executive Officer: Date:
Reported to Corporate Compliance Committee: Date:
Reported to Board: Date:

Actions Taken:

- Immediate Response Provided Internal investigation initiated; assigned to:
Researched regulations External investigation; Entity Date
Researched Organization P&P Referred to legal counsel Date:
Responded to reporter; date

Summary of Action Taken:

[Blank lines for summary]

Final Disposition by Corporate Compliance Officer:

Classification:
Compliance Report and Investigation Log Number:

Completed by:

Corporate Compliance Officer Name Signature Date