



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:*



Health. Wellness. And Wonders.

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