



Corporate Compliance Plan

ISSUE REPORT – Part I - CONFIDENTIAL

Report Date: _____ **Report completed by:** _____

Reported by (Optional): _____ **Position (Optional):** _____

Location/Site: _____

Method of Reporting: ___ In Person ___ Telephone Contact ___ Help Line
___ Written Correspondence

Full Description of the Compliance Issue: (Use additional blank pages as needed)

Signature/Title (Optional)

Date

Immediate Action taken by Corporate Compliance Director:

- Not a compliance issue – re-directed individual to appropriate supervisor/manager/director. Notified the President.
- Determined to be an OPWDD incident – immediately forwarded to the ADQSS
- Determined to be a DOH incident – immediately forwarded to the ADQSS
- Determined to be a HIPAA violation – immediately notified Privacy Officer and processed report in accordance with agency HIPAA policy.
- Initiated Corporate Compliance investigative process – Notified President, Vice Presidents, as warranted Program Director. Date: _____
- Contacted Outside Legal Counsel. Informed President.



Corporate Compliance Plan

ISSUE REPORT- Part II – CONFIDENTIAL DIRECTOR'S CORRECTIVE ACTION PLAN

Report Code: _____

Report Date: _____

Date of Action Plan: _____

1. **VOIDS:** Yes _____ No _____

If Yes, please explain:

2. **OTHER ACTIONS NECESSARY:**

Immediate Corrections:

Systemic Corrections:

Signature, Title

Date Report Completed



ISSUE REPORT – Part III - CONFIDENTIAL

Report Date: _____ **Report Completed by:** _____

Reported by: _____ **Position:** _____

Location/Site: _____ **Date of Resolution:** _____

Date of Action Plan: _____

Resolution:

- Re-education Effort**
- Disciplinary Action**
- Change in Policy and Procedure**
- Disclosure to appropriate outside agent.**
- Other: Please describe below:**

Financial Void Report Received: _____ **(Date)**

- Reviewed by Corporate Compliance Committee on** _____ **.**
- Not reviewed by Corporate Compliance Committee for legal reasons (please provide details below)**

Signature, Title

Date Report Completed