Christine M. Boras, CHC, CFE, MBA

ABC, Inc.

COMPLIANCE COMMUNICATION REPORT

(CONFIDENTIAL)

This report is confidential and is proprietary information of ABC, Inc., and any unauthorized use,
disclosure, or duplication of this report is strictly prohibited.

CASE NO:_____ DATE RECEIVED :_____ TIME RECEIVED:_____

DATE Reported to ABC Compliance Dept: _____TIME Reported (approximate time) (approx) to ABC Compliance Dept:_____

NAME of Caller/Reporter/Complainant, I.D. #, *or* Code Name: _____

ABC Employee: YES ___ NO ___ Unknown ___ Former _____ Other _____

Affiliate to which allegation relates:_____ (Independent Contractor/Vendor)

Complainant's Department/Division/Location: _____

Complainant wishes to maintain anonymous?: YES ___ NO ___
(If no, complainant's name-printed:_____)

Does the Complainant wish to make a follow-up contact?: YES ___ NO ___

If yes, provide details (date, time, method, etc.)_____
_____

Call Back Date (if necessary):_____ Did Caller call back?: YES ___ NO___

Complainant's Specific concerns, allegation(s) : COMPLETE PAGE 2 OF 2

Method of Communication:
___Compliance Line ____Face to Face ____Business Phone Line
___Email ____Fax ____Other

Was this issue reported to Corporate Compliance previously?:(If yes, review existing file) YES ___ NO ___
If yes, to whom and when?_____Who received Initial Report?: _____

CHECKLIST:
***Was Complainant given I.D. name/number/code? YES ___ NO ___ N/A ___**

*Was Complainant given a call back date (if applicable)? YES ___ NO ___ N/A ___

*Did you restate to Complainant their comments/concerns to ensure an accurate understanding was recorded? YES ___ NO ___ N/A ___

*Did you remind Complainant not to tell anyone they notified Compliance to protect their anonymity? YES ___ NO ___ N/A ___

Initial Priority Code:___Re-Assessed Priority Code (If necessary)**:_____ Re-Assessed Date:_____**

Report Forwarded to (if applicable):_____Forwarded by:_____Date Forwarded: _____

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***Type of Allegation:** (check/circle one)

__1__ Documentation/Coding/Billing __2__ Harassment/Discrimination __3__ Substance Abuse (drug/alcohol)
__4__ Dishonest Communications __5__ Breach of Confidentiality __6__ Inappropriate Gifts, Entertainment, Gratuities
__7__ Theft/Misuse of Assets __8__ Conflict of Interest __9__ Environmental/Health Safety Issue
__10__ Time Abuse __11__ Work Place Violence __12__ Breach of Company Policy

__13__ Other_____

Complainant's Specific concerns, allegation(s):

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