

UW Medicine

COMPLIANCE INVESTIGATIONS: STANDARD OPERATING PROCEDURES Guidance to [COMP.005 Compliance Investigations](#)

Compliance official(s) who have scope and jurisdiction over the issue follow the steps below as applicable to the particular issue to coordinate compliance investigations:

- Inform the subject of the investigation and coordinate due process notification;
- Notify appropriate internal parties;
- Identify root cause of problem, affected parties, applicable guidelines and possible regulatory or financial impact;
- Determine scope and jurisdiction;
- Gather and analyze facts;
- Determine non-compliance and report findings;
- Provide an explanation of the outcome to the subject or department head of the investigation and to the individual who reported the concern;
- Document the matter;
- Assure timely completion of all actions necessary to resolve the matter; *and*
- Interface with governing regulatory agencies and notify external parties as identified by law.