

SCCE Compliance 101



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Return completed form and answers to:

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Questions: Contact CCB using the information above.

PERSONAL INFORMATION

*First Name

*Last Name

Middle Name

*Telephone

*SCCE/HCCA ID number

*Email (confirmations will be sent to this address)

**DENOTES REQUIRED FIELD*

ACKNOWLEDGMENTS

By signing below, I attest that all information included on this submission form is true and accurate. All continuing education submissions are subject to audit. Intentional or willful non-compliance with continuing education requirements may be considered grounds for revocation of certification in accordance with CCB policy.

*Signature

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Worth 2 Continuing Education Units with 75% correct.

1. Which chapter of the U.S. Federal Sentencing Guidelines focuses on compliance programs for organizations and provides the essential elements for compliance program development?
 - a. Chapter 1
 - b. Chapter 6
 - c. Chapter 8
 - d. Chapter 10

2. Which is *not* a benefit of a compliance program?
 - a. The ability to eliminate the risks facing an organization.
 - b. The ability to develop a methodology that encourages employees to report potential problems without fear of retribution or retaliation.
 - c. The ability to develop procedures that allow the prompt, thorough investigation of alleged misconduct.
 - d. The ability to reduce the organization's exposure to civil damages and penalties, criminal sanctions, and administrative remedies, such as program exclusion.

3. The Sarbanes-Oxley Act (SOX or Sarbanes), enacted in 2002, was initially applicable to _____ to protect investors by making corporate disclosures more reliable and accurate.
 - a. Public companies
 - b. For-profit companies
 - c. Nonprofit companies
 - d. All of the above

4. Which is *not* one of the three aspects needed by a compliance officer to carry out their duties?
 - a. Adequate resources
 - b. A legal education
 - c. Appropriate authority
 - d. Direct access to the governing authority or an appropriate subgroup of the governing authority

5. What influences how the compliance department is staffed?
 - a. Organization size and setting
 - b. Scope and resources
 - c. Culture
 - d. All of the above

6. What is *not* one of the six tips for saving on future costs of compliance?
 - a. Embed quality into existing processes
 - b. Downsize
 - c. Focus on corporate culture
 - d. Emphasize training

7. What is a compliance program?
 - a. A compliance program is a formal program to ensure employees are not engaging in unethical conduct.
 - b. A compliance program is a simple set of internal policies and procedures of a company to comply with laws, rules, and regulations or to uphold business reputation.
 - c. A compliance program is about education, prevention, detection, collaboration, mitigation, and enforcement. It is a system of processes, policies and procedures, and controls that are developed to ensure compliance with all applicable rules, regulations, contracts, and policies governing the actions of the organization.
 - d. A compliance program is a tool for avoiding liability and telling employees what to do.

8. A code of conduct should *not* include:
 - a. A detailed description of all applicable laws and regulations
 - b. Frequently asked questions or scenarios based on high-risk areas
 - c. Expectations for employees on interactions with other employees, vendors, and clients
 - d. The official board of directors' resolution approving the compliance program or the memo announcing the launch of the program

9. A baseline compliance risk assessment can be used to:
 - a. Frame the education, auditing and monitoring, and communication plans for the compliance program.
 - b. Compare the risk environment of the organization with another point in time.
 - c. Determine the progress made in minimizing or resolving identified risks or in potential areas of vulnerability.
 - d. All of the above

10. What are the two primary sources of information for the risk assessment team?
 - a. Documents and staff
 - b. Training and education plans
 - c. Policies and procedures
 - d. None of the above

11. True or False: Compliance training should only include a general session for all staff.
 - a. True
 - b. False

12. What is *not* one of the top ten pieces of information to include in your basic compliance course?
 - a. A summary of your compliance program, including the code
 - b. How compliance violations are defined and how they should be reported
 - c. Steps for periodically surveying employees about compliance issues
 - d. Policies regarding data privacy and security

13. True or False: A retrospective audit will provide a broad baseline risk assessment, a snapshot, or essentially a laundry list of all the things you need to fix.
 - a. True
 - b. False

14. What is the most important compliance reporting system?
 - a. A public forum
 - b. A supervisor's open door
 - c. A web form
 - d. None of the above

15. The Department of Justice advises that the following three questions should be considered when evaluating the effectiveness of a compliance program. These questions are:
 - a. "Does the corporation's compliance program eliminate all risks?"
 - b. "Is the corporation's compliance program well designed?"
 - c. "Is the program being applied earnestly and in good faith?"
 - d. Both b and c but not a



16. Which of the following is *not* a common compliance program breaking point?
 - a. Lack of commitment from employees, vendors, management, CEO, and board of directors
 - b. Compliance responsibilities are outsourced to avoid accountability or integration into the organization's operations
 - c. An aggressive and consistent disciplinary action plan
 - d. Lack of anonymous reporting mechanisms or knowledge of the mechanisms for reporting
17. True or False: Ignoring a legitimate report of wrongdoing will alienate staff, especially the person who reported the problem, and could possibly encourage qui tam action.
 - a. True
 - b. False
18. The first step in an internal investigation is to conduct a preliminary assessment of the alleged wrongdoing. This includes the following, except:
 - a. Gathering basic facts and relevant information
 - b. Hiring outside counsel
 - c. Determining how serious the misconduct or wrongdoing is
 - d. Clearly defining the scope of your review