

**The Complete Compliance & Ethics Manual**  
**Questions for Readers**  
**(Worth 10 CEUs with 75% correct)**

1. Name the seven essential elements of compliance.
2. Two types of compliance policies and procedures should be developed by every organization: \_\_\_\_\_ and \_\_\_\_\_.
3. Who do most compliance officers report to?
4. How many minimal hours of compliance education should be required for all employees?
5. \_\_\_\_\_ and \_\_\_\_\_ must be documented and reported.
6. What are the typical disciplinary action steps?
7. The government encourages \_\_\_\_\_ of suspected fraud.
8. What are six ways to save on future costs of compliance?
9. Before you launch your compliance program company-wide, what is one of the most important foundation stones you need to have in place?
10. All compliance department staff should have job \_\_\_\_\_.
11. Name the four main objectives of the baseline audit.
12. A tried and true quality management technique is:
13. What are the three C's of communication?
14. If the compliance program includes \_\_\_\_\_ and the program is active and making a difference, it can be considered effective.
15. According to the government, the compliance officer must have \_\_\_\_\_ to access any and all \_\_\_\_\_ that are relevant to compliance activities.
16. What are the three principles addressed by the Code of Ethics for Compliance Professionals?
17. Name the two approaches to auditing.

18. Audits and reviews must be \_\_\_\_\_ and \_\_\_\_\_.
19. The letters OIG stand for \_\_\_\_\_.
20. Several \_\_\_\_\_ compliance programs have arisen as preemptive strategies by different government departments' OIG to reduce fraud and abuse.
21. All posted materials regarding the compliance program implementation should be visible for no less than \_\_\_\_\_ days.

True or False

22. Having support from the Board, Management, and Staff is very important for any compliance program. T F
23. You can assess the effectiveness of your hotline by the number of calls you receive. T F
24. The code of conduct should include a detailed outline of procedures for handling questions about compliance or ethical issues, beginning with a description of chain of command. T F
25. For reporting methods to be effective, employees must accept that there will be no retaliation for coming forward. T F
26. Compliance programs increase incentives for qui tam lawsuits against the company, as employees realize the fiduciary responsibility of management. T F



**COMPLIANCE CERTIFICATION BOARD**  
**Complete Compliance and Ethics Manual**  
**Continuing Education Form**

Please complete this form and return to the CCB office. You will receive **ten (10)** CEUs for answering the Complete Compliance and Ethics publication questions that may be used towards exam or re-certification continuing education requirements. Fill out this form and please **fax to: Certification Coordinator at 952-988-0146 or mail to address below:**

**6500 Barrie Road, Suite 250**  
**Minneapolis, MN 55435**

**CONTACT INFORMATION**

Applicant Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-mail \_\_\_\_\_

**ATTENDANCE VERIFICATION**

**By signing below, I certify that I have read the SCCE publication that relates to the questions I have answered above. I further certify I will cooperate with CCB in all administrative functions related to the accreditation of this program and its subsequent recognition as a program fulfilling candidate requirements for CCB certification.**

Signature \_\_\_\_\_ Date \_\_\_\_\_