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
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**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 ______________________________