

The Complete Compliance and Ethics Manual



This form should only be used to submit as attestation of having read *The Complete Compliance and Ethics Manual* offered by the Society of Corporate Compliance and Ethics (SCCE) for CCB Continuing Education Units (CEUs). This quiz is worth a possible 10.0 non-live CCB CEUs with a 75% passing grade. CCB certification staff will review and process your submission within four weeks. You may view your account activity online at corporatecompliance.org/my-ceus. **Please note you only have one attempt to take this quiz.**

Return completed form and answers to:

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fax: +1 952.988.0146 | **email:** ccb@compliancecertification.org | **phone:** +1 952.933.4977 or 888.580.8373

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*

ATTENDANCE VERIFICATION

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

*Date



Possible 10.0 Continuing Education Units with 75% correct. Please answer on a separate sheet/document.

1. Which is not one of the seven essential elements of compliance.
 - a. Standards, Policies and Procedures
 - b. Compliance Program Administration
 - c. External Reporting Systems
 - d. Discipline for Non-Compliance

2. What are the types of compliance policies and procedures that should be developed by every organization?
 - a. Structural
 - b. Substantive
 - c. Neither A nor B
 - d. Both A and B

3. Who do most compliance officers report to?
 - a. CEO and/or Board of Directors
 - b. Human Resources
 - c. Legal Department
 - d. Compliance Department

4. How many minimal hours of compliance education should be required for all employees?
 - a. Minimum of one half hour annually
 - b. Minimum of three hours annually
 - c. Minimum of one hour annually
 - d. Minimum of two hours annually

5. _____ and _____ must be documented and reported.
 - a. Audits & Reviews
 - b. Inspections & Evaluations
 - c. Surveys & Assessments
 - d. None of the above

6. Which is not a typical disciplinary action step?
 - a. Written Warning
 - b. Suspension
 - c. Demotion
 - d. Termination

7. The government encourages _____ of suspected fraud.
 - a. Reporting
 - b. Disclosure
 - c. Suppression
 - d. Both A and B

8. What is one of the six tips for saving on future costs of compliance?
 - a. Embed quality into existing processes – If processes that pose the greatest risk to the organization are revisited with an emphasis on quality, then the outcome of this exercise will be increased efficiency, increased customer satisfaction, and better, less expensive compliance.
 - b. Focus on corporate culture – This is critical to success and efficiency. Employee satisfaction and retention are good indicators of culture, and employee turnover can be costly to an organization, not only in recruitment efforts, but also in training the new employee.
 - c. Emphasize training – The best way to correct an error is to prevent its occurrence. The number one reason people are non-compliant is because they did not know or understand the area of compliance involved.
 - d. All of the above
9. Before you launch your compliance program company-wide, what is one of the most important foundation stones you need to have in place?
 - a. Auditing and Monitoring procedures
 - b. Compliance Policy and Procedures
 - c. The Organization Code of Conduct
 - d. Hotline/Helpline
10. A tried and true quality management technique is:
 - a. Propose – Do – Corroborate – Act (PDCA)
 - b. Prepare – Do – Confirm – Act (PDCA)
 - c. Plan – Do – Check – Act (PDCA)
 - d. None of the above
11. Which is not one of the 3 C's of communication?
 - a. Concise
 - b. Clear
 - c. Coherent
 - d. Creative
12. According to the government, the compliance officer must have _____ to access any and all _____ that are relevant to compliance activities.
 - a. Full authority/ Documents
 - b. Credentials/ Records
 - c. Permission/Reports
 - d. Approval/Forms
13. What are the three principles addressed by the Code of Ethics for Compliance Professionals?
 - a. Obligations to the public, employing organization, and shareholders
 - b. Obligations to the public, employing organization, and profession
 - c. Obligations to the employees, employing organization, and profession
 - d. Obligations to the public, compliance department, and profession
14. Name the two approaches to auditing.
 - a. Concurrent/Retrospective
 - b. Proactive/Reactive
 - c. Contemporaneous/Asynchronous
 - d. None of the above



15. What do the letters OIG stand for?
 - a. Office of the Investigator's Guild
 - b. Office of the Inspector General
 - c. Office of the Investigator General
 - d. Office of the Inspector's Group

16. Having support from the Board, Management, and Staff is very important for any compliance program.
 - a. True
 - b. False

17. You can assess the effectiveness of your hotline by the number of calls you receive.
 - a. True
 - b. False

18. 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.
 - a. True
 - b. False

19. For reporting methods to be effective, employees must accept that there will be no retaliation for coming forward.
 - a. True
 - b. False

20. Compliance programs increase incentives for qui tam lawsuits against the company, as employees realize the fiduciary responsibility of management.
 - a. True
 - b. False