

CEU Quiz: published in the **May 2016** issue of *Compliance & Ethics Professional Magazine*

To receive 1.0 non-live Compliance Certification Board (CCB) CEU for the following quiz, at least three questions must be answered correctly. Only the first attempt at each quiz will be accepted.

Compliance & Ethics Professional Magazine quizzes are valid for 12 months, beginning with the first month of issue. **This quiz expires April 30, 2017.**

LEARNING OBJECTIVE

After reading **Strengthening management beyond the Guidelines, Part 3: Supporting processes (page 51)**, you should be able to answer the following questions:

1. **A good strategy to ensure that a multinational company has an effective compliance program at each of its sites is to**
 - A. explain the compliance program to field employees and have everyone follow the same program
 - B. periodically collaborate with management to assess if local customization is needed at a site
 - C. rely on local officials to translate materials from the corporate office to their specific site
 - D. use a general compliance program everywhere and change it when specific complaints arise locally
2. **To demonstrate a company's broad-based compliance efforts to auditors and regulators, a compliance officer should**
 - A. allow managers to regularly purge records that have outlived their usefulness to their department
 - B. give each department head a list of all the processes and documents they need to manage for compliance
 - C. know which company records exist, where they are, and which ones are compliance-related
 - D. stay on top of all the records generated by the day-to-day functioning of the Compliance department

LEARNING OBJECTIVE

After reading **New Compliance Officer Tips: Communicating with the board of directors (page 59)**, you should be able to answer the following question:

3. **According to the author, which of the following steps is the most important for successfully delivering a compliance report to the board of directors?**
 - A. Discuss and justify the need for a larger Compliance department budget
 - B. Practice your presentation in the room where the meeting will take place
 - C. Present the granular details of the outcomes of investigations conducted
 - D. Provide training on the board's compliance oversight responsibilities

LEARNING OBJECTIVE

After reading **Don't confuse security and compliance (page 73)**, you should be able to answer the following question:

4. **The most important thing that a compliance professional can bring to a preliminary, multi-disciplinary team meeting for security and compliance is**
 - A. an assessment of the company's risks and how it provides evidence that its safeguards are working
 - B. an explanation of how following the privacy regulations will also increase data security
 - C. a list of privacy standards, certifications, and technology required by the applicable regulations
 - D. a justification for why more budget and resource expenditures are needed for compliance

Compliance & Ethics Professional Continuing Education Form

For correctly answering SCCE's *Compliance & Ethics Professional* magazine quiz, you will receive 1.0 non-live Compliance Certification Board (CCB) CEU.

Read the articles, and the quiz questions on page one. Mark your answers in the "Quiz Answers" section below. Please fax, email or mail the completed form to:

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CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

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Work E-mail

Home Street Address

Home City

Home State Home Zip

Home Phone

QUIZ ANSWERS: MAY 2016

Article: Strengthening management beyond the Guidelines, Part 3: Supporting processes (page 51)

Please indicate your answers.

1. A B C D
2. A B C D

Article: New Compliance Officer Tips: Communicating with the board of directors (page 59)

Please indicate your answer.

3. A B C D

Article: Don't confuse security and compliance (page 73)

Please indicate your answer.

4. A B C D

ATTENDANCE VERIFICATION

By signing below, I certify that I have read the SCCE *Compliance & Ethics Professional* articles that relate to the questions I have answered above. I further certify I will cooperate with the 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 _____