Monitoring & Auditing Practices for Effective Compliance  
Questions for Readers  
(Possible 2 Continuing Education Units with 75% correct)

1. What are two steps you can perform to be sure the Senior Management supports your compliance program?

2. The federal anti-kickback statute is a criminal statute that prohibits knowingly and willfully soliciting, receiving, offering or paying any “remuneration” in return for or to induce what:  
   1.  
   2.  

3. Program Manuals require what be provided as part of a Sampling Study?

4. What is the first step in appealing a Sampling Study?

5. How can a Compliance Program show the government it is effectively and openly addressing compliance issues?

6. What is the statute of limitations under the False Claims Act?

7. Essential to the success and effectiveness of a compliance program are _____________ and reviews.

8. Typically an “Attorney” for the purpose of the privilege is a lawyer licensed to practice law in ___________________________.

9. The results of an internal investigation that are not conducted under the direction of counsel are generally subject to ___________________________ and ___________________________ by adversarial parties.

10. What are the six factors in developing an effective Compliance Team?

11. What should be created once risk areas have been identified?

12. According to the Federal Sentencing Guidelines, what are seven factors necessary for an effective Compliance Program?

13. Name two reasons to use a self-audit:

14. What is the amount of time allowed to contest an alleged overpayment?

15. Most providers can expect a ________________ with any fraud or false claims settlement.

True or False

16. The term of a Corporate Integrity Agreement typically ranges from three to eight years.  
T    F

17. Agreed-Upon Procedures engagements are generally more loosely defined and more subjective in nature in comparison to consulting standards.  
T    F

18. Included in the Independent Accountant’s Report of Agreed-Upon Procedures will be a list of the procedures performed and Identification of the specified users.  
T    F
Please complete this form and return to the CCB office. You will receive two (2) CEU for answering the Monitoring & Auditing Practices for Effective Compliance questions. 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 HCCA 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 __________________________