

# CEU Quiz for the May 2018 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, 2019.**

## LEARNING OBJECTIVE

---

After reading “**What is the role of a Human Resources department?**” (page 49), you should be able to answer the following questions:

- 1. In recent cases of sexual harassment in the news, the most likely reason the misconduct continued for many years was because**
  - A. claims of harassment were investigated, but no solid evidence was ever found
  - B. the HR department and the compliance officer did not coordinate investigations
  - C. no one in the HR department was responsible for following up on complaints
  - D. perpetrators were not punished, so victims felt it was useless to report incidents
- 2. If a thorough investigation of harassment reveals substantiated facts, the most important factor for HR in deciding the disciplinary measures is**
  - A. how much revenue the person generates each year
  - B. the perpetrator’s rank within the company hierarchy
  - C. the seriousness and frequency of the misconduct
  - D. that someone must be fired to serve as an example

## LEARNING OBJECTIVE

---

After reading “**Ungoverned text messaging exposes your company to significant risk**” (page 57), you should be able to answer the following question:

- 3. If a company receives an e-discovery request for text messages used for business purposes, who is responsible for producing the full message archive?**
  - A. the carriers for mobile device services
  - B. the legal department of the business entity
  - C. the owner of the device used to send them
  - D. the person who generated the messages

## LEARNING OBJECTIVE

---

After reading “**Third-party assessments of ethics: A proactive tool to demonstrate due diligence**” (page 30), you should be able to answer the following question:

- 4. The best defense that can be made by a company that is under enforcement scrutiny for a compliance failure is**
  - A. at the time, the board was unaware of the circumstances that led to the wrongdoing
  - B. the company had a written set of compliance policies and procedures when the offense occurred
  - C. legal counsel can show they did due diligence before the company became involved in the offense
  - D. the offense was a one off situation, and an external evaluation revealed an ethical culture

# 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:

Compliance Certification Board  
6500 Barrie Road, Suite 250  
Minneapolis, MN 55435

Fax: +1 952.988.0146 | email: [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) | Phone: +1 952.933.4977 or 888.277.4977

## CONTACT INFORMATION

Mr.  Mrs.  Ms.  Dr.

\_\_\_\_\_  
SCCE Member ID

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

\_\_\_\_\_  
Place of Employment

\_\_\_\_\_  
Work Street Address

\_\_\_\_\_  
Work City                      Work State                      Work Zip

\_\_\_\_\_  
Work Phone                      Work Fax

\_\_\_\_\_  
Work E-mail

\_\_\_\_\_  
Home Street Address

\_\_\_\_\_  
Home City

\_\_\_\_\_  
Home State                      Home Zip

\_\_\_\_\_  
Home Phone

## QUIZ ANSWERS: MARCH 2018

Article: **What is the role of a Human Resources department?** (page 49)

Please indicate your answers.

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

Article: **Ungoverned text messaging exposes your company to significant risk** (page 57)

Please indicate your answer.

3.  A    B    C    D

Article: **Third-party assessments of ethics: A proactive tool to demonstrate due diligence** (page 30)

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 \_\_\_\_\_