Initial Corporate Compliance Training Pre-Test

Name: ___________________________ Dept. ___________ Date: ___________

1. The Corporate Compliance Program was established to ensure organizational compliance with all federal, state, and local laws and regulations.
   a) True b) False

2. What is the agency Compliance Officer's Name? ___________________________

3. All staff are required to attend Corporate Compliance training:
   a) Once a year only  
   b) Every 6 months  
   c) This initial training only  
   d) Annually and as often as necessary to meet the needs of the program

4. If an employee is aware of any proposed conduct or behavior that will result in non-compliance with laws or regulations, he/she should report this matter to his/her supervisor, or the Corporate Compliance Officer.
   a) True b) False

5. Employees can use the following methods to report known or suspected Compliance issues:
   a) Verbal or written explanation to his/her supervisor 
   b) Calling the Compliance Hotline-1-800-401-8004  
   c) Verbal or written explanation to the Corporate Compliance Officer  
   d) All of the above

6. The Arc of Madison Cortland’s Code of Ethics and Philosophy is:
   a) Taught and explained by the Human Resource Dept  
   b) A document that spells out the expectations for staff, volunteers, and board members at The Arc of Madison Cortland  
   c) Easy to follow if I can behave at work  
   d) A document that incorporates our Mission Statement  
   e) Both b & d

7. Employees are afforded protection under the False Claims Act for reporting any activities that he/she feels may violate the law.
   a) True b) False

8. Retaliation against employees that report compliance concerns at The Arc of Madison Cortland is an acceptable practice.
   a) True b) False
9. **Your responsibility here at The Arc of Madison Cortland is to:**
   a) Call the compliance hotline for every possible issue you have with your supervisor
   b) Report any suspicious billing or possible fraud
   c) Help your co-worker cover up issues if they make mistakes
   d) Call or text my co-workers if I am under investigation

10. **Which of the following Waiver Service documentation examples is a definition of waste and abuse in the healthcare system:**
    a) Documenting a service that was never provided
    b) Forgetting to put the date on a Waiver Service
    c) Documenting a Waiver Service a day late because you forgot yesterday
    d) The agency billing IRA Residential Habilitation on "auto-pilot"
    e) Both a, c, d
    f) Both a, d

11. **It is acceptable to document a service in THERAP that I witnessed a co-worker provide to the individual:**
    a) True
    b) False

12. **I must protect my THERAP password and make sure that I always log out of THERAP if I will be away from my computer for any period of time because:**
    a) I don't want my co-worker to mistakenly work under my account
    b) It is my due-diligence to ensure that I protect my THERAP account
    c) My work on THERAP will always be time and date stamped with my electronic signature
    d) All of the above

13. **Calls to the Corporate Compliance Hotline must be made in good faith and not be used to retaliate against another employee.**
    a) True
    b) False

14. **If I am the subject of a compliance investigation I should:**
    a) Immediately text message all of my friends that work at The Arc of Madison Cortland to see what is going on
    b) Wait to be contacted by the investigator
    c) Try to figure out who may have got me in trouble
    d) Try to fix any past billing errors I may have made

15. **An example of The Arc of Madison Cortland's reaction to a compliance investigation might be:**
    a) Disciplinary action up to and including termination
    b) Additional training
    c) A new procedure
    d) Employee recognition
    e) All of the above

**BONUS QUESTION**

What is the number one reason employees don't report their compliance concerns?
Initial Corporate Compliance Training Post-Test

Name: ___________________________ Dept. ___________ Date: ___________

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**BONUS QUESTION**

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____________________________
I acknowledge that I have received the Initial Corporate Compliance Training and that I understand the content presented to me today. I also understand it is my duty to report any non-compliant, unethical behavior I may suspect or witness.

Signature ___________________________ Date ___________________________