



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

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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 _____