



*Certified  
Compliance  
and Ethics  
Professional*



# GANBDAOK



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS



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**The material in this handbook is current at the time of printing and is subject to change without notice. Please refer to the most recent CCEP Candidate Handbook for current program policies and procedures.**

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## ABOUT THIS HANDBOOK

This handbook provides information that you will need to register for the SCCE *Certified Compliance & Ethics Professional (CCEP) Examination*, including eligibility requirements, examination policies, an examination content outline, and an examination application. Be sure to keep the handbook after you have registered for the examination; you may wish to refer to it later.

## CERTIFICATION

The purpose of certification is to promote compliance and ethics through the certification of qualified compliance and ethics professionals by:

1. Recognizing formally those individuals who meet the eligibility requirements of the SCCE and pass the Certified Compliance & Ethics Professional (CCEP) Examination.
2. Encouraging continued personal and professional growth in the practice of compliance and ethics.
3. Providing a national standard of requisite knowledge required for certification; thereby assisting employers, the public, and members of the professions in the assessment of a compliance and ethics professional.

## TESTING AGENCY

SCCE has contracted with Applied Measurement Professionals, Inc. (AMP) to assist in the development, administration, scoring, and analysis of its Certified Compliance & Ethics Professional (CCEP) Examination. AMP services also include the processing of examination applications and the reporting of scores to candidates who take the examination.

## STATEMENT OF NONDISCRIMINATION

The SCCE and AMP do not discriminate among candidates on the basis of age, gender, race, color, religion, national origin, disability, or marital status.

## ABOUT THE EXAMINATION

The examination is designed to test a well-defined body of knowledge representative of professional practice in the discipline. Successful completion of a certification examination verifies broad-based knowledge in the discipline being tested.

The examination leads to a certification credential in a compliance and ethics discipline defined by a role delineation study. The study involves surveying practitioners in the field to identify tasks that professionals routinely perform and consider important. Each edition of the certification examination is constructed in accordance with examination specifications that list content categories and tasks to be covered and assign numbers of test items and cognitive complexity to content categories. Specifications are developed to represent tasks that are performed in professional practice.

The CCEP examination is developed through a combined effort of qualified content experts and testing professionals. They review the test items to ensure that they are accurate in their content, relevant to practice, and representative of good testing procedures.

This handbook provides specific information related to the Certified Compliance & Ethics Professional Examination. Individuals who meet eligibility requirements and who successfully pass this examination attain the Certified Compliance & Ethics Professional (CCEP) designation. To apply for this examination, complete the application included with this handbook and mail it to the address provided. This handbook can also be found on SCCE's Web site ([www.corporatecompliance.org](http://www.corporatecompliance.org)).

## ELIGIBILITY REQUIREMENTS

To be eligible for the Certified Compliance & Ethics Professional (CCEP) Examination, candidates must fulfill the requirements in each of the following categories.

**A. Work Experience:** Candidates must meet **one** of the following criteria:

**Active Compliance Professional:** Have a minimum of one year of full-time work experience in compliance and ethics, with at least 50 percent of job duties dedicated to compliance and ethics, namely, those tasks reflected in the exam content outline.

**Allied Professional:** Have a minimum of 1,500 hours of work experience in compliance and ethics, performing tasks reflected in the exam content outline, obtained over a period not to exceed two years.

**Student:** Students who complete the compliance coursework from an SCCE accredited university program.

Candidates must complete Section 2 on the SCCE Examination Application, indicating which one of the three criteria they meet.

**B. Continuing Education**

All candidates must submit twenty credits of continuing education received in the 12-month period preceding the date of the exam.

\*Please note: Candidates taking the CCEP exam at an SCCE event, will fulfill this requirement by attending the sessions during the week prior to the exam date. To complete your CCEP exam application, indicate the SCCE event you will be attending in the Continuing Education Section.

You must have documentation of obtained credits for two hours in each of the ten subject areas (see list below):

- Application of Management Practices for the Compliance Professional
- Application of Personal and Business Ethics in Compliance
- Written Compliance Policies and Procedures
- Designation of Compliance Officers and Committees
- Compliance Training and Education
- Communication and Reporting Mechanisms in Compliance
- Enforcement of Compliance Standards and Discipline
- Auditing and Monitoring for Compliance
- Response to Compliance Violations and Corrective Actions
- Complying with Government Regulations

CCEP credits are accumulated by participating in accredited seminars, workshops and conferences, completion of a self-test related to an accredited published article, use of accredited educational products, writing for publication, or serving as an instructor or facilitator of compliance-related education. A list of accredited activities is available through the SCCE administrative office or on the SCCE website, [www.corporatecompliance.org](http://www.corporatecompliance.org).

Only those programs accredited by SCCE or hosted by SCCE accredited providers will be recognized for credit. Providers of continuing education wishing to apply for accreditation may contact the SCCE administrative office to request the SCCE Accreditation Guidelines.

### Documentation

CCEP Candidates and certificants must receive a certificate of credit for all accredited events in which they participate. Candidates should use the information on these certificates to complete Section 3 of the CCEP Examination Application or the CCEP application for certification maintenance.

### Audit of Continuing Education Activities

SCCE reserves the right to audit continuing education submission at any

time. The scope of these audits will be limited to verification of attendance and compliance with content area requirements. Fraudulent submission of continuing education for certification, or certification maintenance, is grounds for prohibition from testing or revocation of certification.

## APPLYING FOR THE EXAMINATION

The CCEP Examination is administered via computer at over 130 AMP Assessment Centers geographically distributed throughout the United States. There are no application deadlines and candidates who meet the eligibility requirements for an examination may submit their applications and fees at any time. The following steps outline the application process:

1. The candidate completes and submits a paper application (included in this handbook or obtained from [www.corporatecompliance.org](http://www.corporatecompliance.org)) and appropriate fee when the eligibility requirements are satisfied. The SCCE reserves the right to verify information supplied by or on behalf of a candidate. Any misrepresentation of information shall be considered grounds for prohibition from testing or revocation of certification.

An application is considered complete only if all information requested is complete, legible and accurate; if the candidate is eligible for the examination; and if the appropriate fee accompanies the application. Required information includes: Personal Information, Indication of Eligibility for Examination, Indication of the Applicable Fee, and Signature. If the examination fee indicated is for a member of SCCE, then Membership Number must also be provided. **APPLICATIONS THAT ARE INCOMPLETE WILL BE RETURNED, ALONG WITH ANY FEE SUBMITTED MINUS A \$50 PROCESSING FEE.**

2. The application is processed, and a confirmation notice of eligibility is sent to the candidate within approximately two weeks. If a confirmation notice is not received within three weeks, contact AMP at 888 519 9901. **This confirmation of a candidate's eligibility and acceptance of the application is valid for 90 days.** A candidate who fails to schedule an appointment for examination within the 90-day period forfeits the application and all fees paid to take the examination. A complete application and examination fee are required to reapply for examination.

**In addition to computer-administered examinations, paper and pencil administrations will be scheduled throughout the year at various events.**

**INTERNATIONAL TESTING: Visit [www.goAMP.com](http://www.goAMP.com) for information on testing procedures and locations outside of the United States. The CCEP exam is available in more than 30 countries.**

## SCHEDULING AN EXAMINATION

The confirmation notice contains a website address and toll-free telephone number for the candidate to contact AMP to schedule an appointment for examination. Be prepared to confirm a date and location for testing.

The examinations are administered by appointment only Monday through Friday at 9:00 AM and 1:30 PM. Individuals are scheduled on a first-come, first-served basis. Refer to the chart below.

If you call AMP by 3:00 p.m. Central Time on...	Depending on your availability your examination may be scheduled as early as...
Monday	Thursday
Tuesday	Friday
Wednesday	Monday
Thursday	Tuesday
Friday	Wednesday

When you contact AMP to schedule an appointment for examination, you will be notified of the time to report to the Assessment Center. Please make a

note of it because you will NOT receive an admission ticket. You will only be allowed to take the examination for which you received a confirmation notice; no changes in examination type will be made at the Assessment Center. **UNSCHEDULED CANDIDATES (WALK-INS) WILL NOT BE ADMITTED** to the Assessment Center.

Note: Examinations will not be offered on the following holidays:

New Year's Day	Veterans' Day
Martin Luther King Day	Thanksgiving Day (and the following Friday)
Presidents' Day	Christmas Eve Day
Good Friday	Christmas Day
Memorial Day	New Year's Eve Day
Independence Day (July 4)	
Labor Day	
Columbus Day	

## SPECIAL ARRANGEMENTS FOR CANDIDATES WITH DISABILITIES

AMP complies with the Americans with Disabilities Act and strives to ensure that no individual with a disability is deprived of the opportunity to take the examination solely by reason of that disability. AMP will provide reasonable accommodations for candidates with disabilities.

Wheelchair access is available at all established Assessment Centers. Candidates with visual, sensory or physical disabilities that would prevent them from taking the examination under standard conditions may request special accommodations and arrangements. To request special accommodations, complete the request for special examination accommodations form included in this handbook and submit it with your application and fee at least 45 business days prior to your desired testing date. Please inform AMP of your need for special accommodations when scheduling your examination.

## TELECOMMUNICATION DEVICES FOR THE DEAF

AMP is equipped with Telecommunications Devices for the Deaf (TDD) to assist deaf and hearing-impaired candidates. TDD calling is available 8:30 AM to 5:00 PM (CST) Monday–Friday at +1 913 495 4437. This TDD phone option is for individuals equipped with compatible TDD machinery.

## ASSESSMENT CENTER LOCATIONS

AMP Assessment Centers are typically located in H&R Block offices. Locations of Assessment Centers can be viewed at [www.goAMP.com](http://www.goAMP.com). Specific address information will be provided when a candidate schedules an examination appointment.

## EXAMINATION FEES

Candidates must submit the appropriate fee with a complete examination application according to the following schedule. Payment may be made by credit card (Visa, MasterCard or American Express), cashier's check, business check or money order made payable to AMP. **Cash and personal checks are not acceptable.**

<u>Examination Fee</u>	
Member of SCCE . . . . .	\$250
Nonmember . . . . .	\$350
<u>Rescheduling Fee</u> . . . . . \$50	

A candidate who appears more than 15 minutes late for an examination and cannot be seated, who fails to report for an examination, or who does not pass the first attempt at the examination may reapply for examination by paying the rescheduling fee. A new application is not required. The examination must be rescheduled within 90 days of the date of the originally scheduled testing session or failed examination attempt.

A candidate who does not reschedule an examination within the 90-day period or fails the second examination attempt may reapply for examination by submitting a new application and full examination fee after a period of 180 days.

**EXAMINATION APPOINTMENT CHANGES**

1. A candidate may reschedule an appointment for examination **once** by calling AMP at 888 519 9901 at least **four business days** prior to the scheduled testing session. (See table below.)

If your examination is scheduled on...	You must call AMP by 3:00 PM Central Time to change your reservation by the previous...
Monday	Tuesday
Tuesday	Wednesday
Wednesday	Thursday
Thursday	Friday
Friday	Monday

2. A candidate who wishes to reschedule an examination but fails to contact AMP at least four business days prior to the scheduled testing session, or who wishes to reschedule a second time, may reapply for examination by paying the rescheduling fee and calling AMP to schedule a new appointment for examination. A new application is not required. The examination must be rescheduled within 90 days of the date of the most recently scheduled testing session. A candidate who does not reschedule an examination within the 90-day period forfeits the application and all fees paid to take the examination. After this 90-day period, a complete application and examination fee are required to reapply for examination.
3. A candidate who cancels his/her examination after confirmation of eligibility is received, forfeits the application and all fees paid to take the examination. A complete application and examination fee are required to reapply for examination.

**EXAMINATION CONTENT**

**CCEP DETAILED EXAMINATION CONTENT OUTLINE**

The outline on the following pages spells out the areas and tasks that will be tested on the SCCE CCEP Certification Examination. The examination will be scored on participants' responses to 100 multiple-choice questions spread across all subject area. The numbers found to the right of each section indicate the total number of questions from the subject area that will appear on the examination. The cognitive levels define the breakdown of how many of the total questions are devoted to each level. Recall questions require recollection of specific knowledge related to the subject area. Application questions require application of recalled knowledge to discern the final answer. Analysis questions require the analysis of a situation to determine a proper action listed among several choices.

**SAMPLE QUESTIONS**

1. A supervisor is informed that a subordinate employee has lodged a complaint against the company through the hotline. Which of the following documents should the compliance and ethics professional review with the supervisor FIRST?
  - A. code of conduct
  - B. compliance manual
  - C. confidentiality policy
  - D. non-retaliation policy

2. Which of the following documents do judges primarily use to establish fines and penalties?
  - A. Sarbanes-Oxley Act
  - B. Federal Sentencing Guidelines
  - C. Generally Accepted Accounting Principles
  - D. Security and Exchange Commission regulations
3. A U.S.-based company has recently acquired a subsidiary with offices in Europe. The compliance and ethics professional has been charged with implementing an anonymous hotline for the new subsidiary. Which of the following should the compliance and ethics professional do FIRST?
  - A. Consult with resources to determine local laws.
  - B. Coordinate the installation of an international hotline.
  - C. Post translated compliance materials on the company intranet.
  - D. Publish the existing hotline number on the subsidiary's website.
4. Which of the following in Section 404 of Sarbanes-Oxley increases the reliability of a company's published information?
  - A. requiring quarterly audits
  - B. improving investor confidence
  - C. strengthening internal controls
  - D. avoiding government sanctions
5. The Federal Sentencing Guidelines require that risk assessments
  - A. review audit committee compliance.
  - B. measure risk to enforce compliance.
  - C. prioritize risk for compliance program modification.
  - D. ensure allocation of compliance and ethics resources.

*Find the answer key at the bottom of page 7.*

**REVIEW REFERENCES**

The SCCE recommends that review for the CCEP Examination focus on references and programs that cover the information summarized in the CCEP Examination Content Outline. It should not be inferred that test items in the examination are selected from any single reference or set of references or that study from the references listed guarantees a passing score on the examination.

**Web Sites**

- U.S. Sentencing Commission..... [www.ussc.gov/](http://www.ussc.gov/)
- U.S. Securities Exchange Commission..... [www.sec.gov/](http://www.sec.gov/)
- Department of Justice..... [www.usdoj.gov/](http://www.usdoj.gov/)
- Environment Protection Agency ..... [www.epa.gov/](http://www.epa.gov/)
- Office of Inspector General ..... [www.oig.hhs.gov/](http://www.oig.hhs.gov/)
- U.S. Health and Human Services ..... [www.hhs.gov/](http://www.hhs.gov/)
- Office of Federal Contract Compliance Programs ..... [www.dol.gov/esa/ofccp/](http://www.dol.gov/esa/ofccp/)
- Foreign Corrupt Practices Act..... [www.usdoj.gov/criminal/fraud/fcpa.html](http://www.usdoj.gov/criminal/fraud/fcpa.html)
- Fair Labor Standards Act ..... [www.dol.gov/esa/whd/flsa/](http://www.dol.gov/esa/whd/flsa/)
- Occupational Safety and Health Act ..... [www.osha.gov/](http://www.osha.gov/)
- National Labor Relations Board..... [www.nlr.gov/nlr/home/default.asp](http://www.nlr.gov/nlr/home/default.asp)
- U.S. Department of Labor, The Employee Retirement Income Security Act..... [www.dol.gov/dol/topic/health-plans/erisa.htm](http://www.dol.gov/dol/topic/health-plans/erisa.htm)
- Public Company Accounting Oversight Board ..... [www.pcaobus.org/](http://www.pcaobus.org/)
- The Committee of Sponsoring Organizations of the Treadway Commission ..... [www.coso.org/](http://www.coso.org/)
- U.S. House of Representatives ..... [www.house.gov/](http://www.house.gov/)
- Government Printing Offices ..... [www.access.gpo.gov/](http://www.access.gpo.gov/)

Certified Compliance and Ethics Professional Final Detailed Content Outline	Cognitive Levels			Total
	Recall	Application	Analysis	
<b>1. Standards, Policies, and Procedures</b>	<b>3</b>	<b>9</b>	<b>3</b>	<b>15</b>
<ul style="list-style-type: none"> <li>A. Create compliance and ethics policies and procedures</li> <li>B. Maintain compliance and ethics policies and procedures</li> <li>C. Consult with appropriate subject matter resources (e.g., legal, HR, finance)</li> <li>D. Ensure consistency between the organization's mission, vision, values, and the code(s) of conduct</li> <li>E. Maintain compliance and ethics strategic plan</li> <li>F. Maintain a non retaliation policy</li> <li>G. Ensure that an appropriate record retention policy exists</li> <li>H. Maintain a code(s) of conduct <ul style="list-style-type: none"> <li>I. Maintain a conflict of interest policy (e.g., gifts and gratuities, outside business ventures)</li> </ul> </li> <li>J. Maintain appropriate confidentiality policies (e.g., trade secrets, intellectual property, third party information)</li> <li>K. Maintain appropriate privacy policies</li> <li>L. Maintain policies and procedures to address regulatory and legal requirements</li> <li>M. Maintain appropriate policies on interactions with third parties (e.g., vendors, business partners, competitors)</li> <li>N. Maintain a compliance manual</li> <li>O. Maintain policies and procedures around specifically identified risk areas</li> <li>P. Propose appropriate governance policies related to compliance</li> <li>Q. Participate in the development of internal controls aimed at preventing misconduct (e.g., requiring dual sign-offs on certain conduct)</li> <li>R. Ensure that compliance and ethics standards are included in contractual agreements with third parties (e.g., vendors, business partners, agents)</li> <li>S. Monitor government sanction lists for individuals/entities (e.g., Patriot Act, export control, GSA)</li> </ul>				
<b>2. Compliance and Ethics Program Administration</b>	<b>4</b>	<b>4</b>	<b>13</b>	<b>21</b>
<ul style="list-style-type: none"> <li>A. Report compliance and ethics activity to the internal governing body (e.g., board of directors, audit committee)</li> <li>B. Coordinate operational aspects of a compliance and ethics program with management (e.g., oversight committee, senior management)</li> <li>C. Collaborate internally and externally with others to institute best practices (e.g., benchmarking)</li> <li>D. Ensure that the compliance and ethics oversight committee's goals and functions are implemented</li> <li>E. Maintain knowledge of current regulatory and legal changes (e.g., literature and conferences)</li> <li>F. Maintain the credibility and integrity of the compliance program</li> <li>G. Recognize the need for outside expertise</li> <li>H. Ensure that the organization has defined the responsibilities, purpose, function and authority of compliance and ethics positions <ul style="list-style-type: none"> <li>I. Ensure that the governing board understands its responsibilities in the compliance and ethics program</li> </ul> </li> <li>J. Ensure that the role of counsel in the compliance and ethics process has been defined</li> </ul>				

Certified Compliance and Ethics Professional Final Detailed Content Outline	Cognitive Levels			Total
	Recall	Application	Analysis	
<ul style="list-style-type: none"> <li>K. Manage the compliance and ethics staff and other resources</li> <li>L. Embed the compliance and ethics program into the business</li> <li>M. Develop an annual compliance and ethics work plan</li> <li>N. Ensure the organization has processes in place to manage conflicts of interest</li> <li>O. Ensure background checks are conducted on new hires and others</li> </ul>				
<b>3. Communications, Education, and Training</b>	<b>4</b>	<b>11</b>	<b>3</b>	<b>18</b>
<ul style="list-style-type: none"> <li>A. Disseminate relevant information on emerging risk areas</li> <li>B. Communicate compliance and ethics information throughout the organization</li> <li>C. Develop appropriate and effective compliance and ethics training for all applicable individuals (e.g., risk specific, orientation, remedial)</li> <li>D. Measure the effectiveness of compliance and ethics training</li> <li>E. Ensure that employees understand their obligation to report misconduct</li> <li>F. Ensure that employees understand the compliance and ethics aspects of their specific job responsibilities</li> <li>G. Promote a culture of compliance and ethics throughout the organization</li> <li>H. Encourage employees to seek guidance and clarification when in doubt</li> <li>I. Ensure that compliance and ethics personnel participate in continuing education to maintain professional competence</li> <li>J. Track participation in ongoing compliance and ethics training programs</li> <li>K. Conduct compliance and ethics education for all board members, employees, vendors, and other agents</li> <li>L. Train all those who receive questions and concerns from employees and others on how to identify potential compliance and ethics issues</li> <li>M. Manage a compliance and ethics education program</li> </ul>				
<b>4. Monitoring, Auditing, and Internal Reporting Systems</b>	<b>3</b>	<b>3</b>	<b>8</b>	<b>14</b>
<ul style="list-style-type: none"> <li>A. Protect anonymity and confidentiality within legal and practical limits</li> <li>B. Publicize the reporting system to all employees, vendors, and third parties</li> <li>C. Monitor for organizational misconduct (e.g., violations of applicable laws, regulations, policies and procedures)</li> <li>D. Operate system(s) to enable employees, vendors, and third parties to report any noncompliance and seek advice (e.g, hotline)</li> <li>E. Address compliance and ethics concerns expressed through internal reporting</li> <li>F. Conduct compliance and ethics audits</li> <li>G. Engage in routine monitoring of compliance and ethics related activities (e.g., helpline calls, training, investigations)</li> <li>H. Monitor compliance and ethics audit results (e.g., track, trend, evaluate, benchmark)</li> <li>I. Address audit results from external entities (e.g., outside counsel, government, consultants)</li> <li>J. Monitor compliance with governance policies</li> <li>K. Evaluate the effectiveness of the compliance and ethics program on an ongoing basis</li> <li>L. Include compliance and ethics questions in exit interviews</li> </ul>				



Certified Compliance and Ethics Professional Final Detailed Content Outline	Cognitive Levels			Total
	Recall	Application	Analysis	
<b>5. Response and Investigation, Discipline and Incentives</b>	<b>4</b>	<b>4</b>	<b>12</b>	<b>20</b>
<ul style="list-style-type: none"> <li>A. Take an active role in ensuring that discipline is proportionate to violation</li> <li>B. Take an active role in ensuring that discipline is consistent with the organization's disciplinary policies and procedures</li> <li>C. Take an active role in ensuring that discipline is enforced consistently throughout all levels of the organization</li> <li>D. Ensure recommended disciplinary action is documented</li> <li>E. Coordinate with management to ensure agreed upon corrective action is taken</li> <li>F. Integrate incentives to encourage compliance and ethical behavior</li> <li>G. Use compliance and ethical behavior as a factor in job performance evaluations</li> <li>H. Take steps to ensure compliance with the organization's non-retaliation policy</li> <li>I. Respond to compliance and ethics inquiries</li> <li>J. Report validated instances of noncompliance through appropriate channels within the organization</li> <li>K. Ensure the development of corrective action plans in response to noncompliance</li> <li>L. Monitor the effectiveness of corrective action plans and ensure modification as needed</li> <li>M. Engage internal resources to assist in investigations</li> <li>N. Initiate program enhancements to respond to identified problems or weaknesses in the program</li> <li>O. Conduct internal investigations</li> <li>P. Respond to government inquiries and investigations</li> <li>Q. Maintain records on compliance investigations</li> <li>R. Coordinate voluntary disclosures to regulatory agencies with legal counsel</li> <li>S. Coordinate investigations to preserve applicable privileges</li> </ul>				
<b>6. Risk Assessment</b>	<b>2</b>	<b>3</b>	<b>7</b>	<b>12</b>
<ul style="list-style-type: none"> <li>A. Ensure periodic compliance and ethics risk assessments are conducted across the organization</li> <li>B. Drive the integration of compliance and ethics risk assessments across all parts of the business (e.g., processes and business units)</li> <li>C. Ensure that risks are appropriately prioritized</li> <li>D. Ensure that action plans are developed and carried out based on risk assessments</li> <li>E. Incorporate any necessary changes to reduce risk</li> </ul>				
<b>Totals</b>	<b>20</b>	<b>34</b>	<b>46</b>	<b>100</b>

<b>ANSWER KEY</b>
1. D
2. B
3. A
4. C
5. C

## ON THE DAY OF YOUR EXAMINATION

On the day of your examination appointment, report to the Assessment Center no later than your scheduled testing time. Once you enter the office, look for the signs indicating AMP Assessment Center Check-In. A CANDIDATE WHO ARRIVES MORE THAN 15 MINUTES AFTER THE SCHEDULED TESTING TIME WILL NOT BE ADMITTED.

A candidate who is not admitted due to late arrival has 90 days from the originally scheduled examination session to remit the rescheduling fee and contact AMP to schedule a new appointment for examination. A new application is not required.

A candidate who does NOT reschedule an examination within the 90-day period forfeits the application and all fees paid to take the examination.

After the 90-day period a complete application and examination fee are required to re-apply.

To gain admission to the Assessment Center, a candidate must present two forms of identification, one with a current photograph. Both forms of identification must be current and include the candidate's current name and signature. The candidate will also be required to sign a roster for verification of identity.

Acceptable forms of photo identification include: a current driver's license with photograph, a current state identification card with photograph, a current passport, or a current military identification card with photograph. Employment ID cards, student ID cards and any type of temporary identification are NOT acceptable as the primary form of identification.

Candidates are prohibited from misrepresenting their identities or falsifying information to obtain admission to the Assessment Center.

**YOU MUST HAVE PROPER IDENTIFICATION TO GAIN ADMISSION TO THE ASSESSMENT CENTER.**

After your identification has been confirmed, you will be directed to a testing carrel. We will take your photograph, which will remain on-screen throughout your examination session. Your photograph will also print on your score report.

## SECURITY

The SCCE and AMP maintain examination administration and security standards that are designed to assure that all candidates are provided the same opportunity to demonstrate their abilities. The Assessment Center is continuously monitored by audio and video surveillance equipment for security purposes.

## PRACTICE EXAMINATION

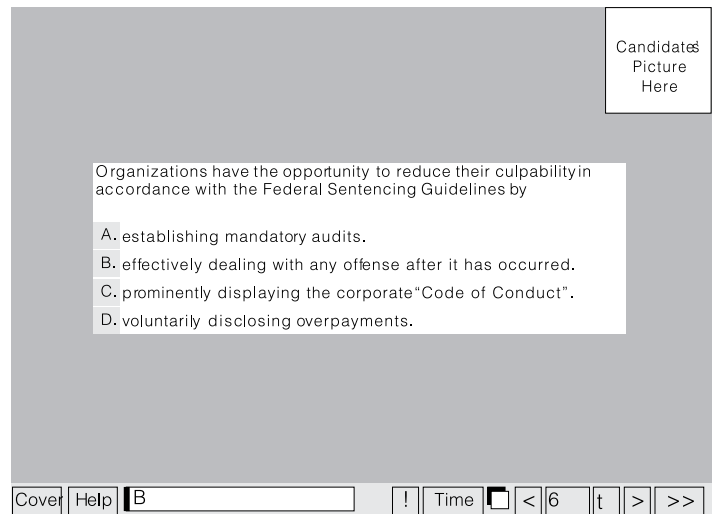
Prior to attempting the examination, you will be given the opportunity to practice taking an examination on a computer. The time you use for this practice examination is NOT counted as part of your examination time. When you are comfortable with the computer examination process, you may quit the practice session and begin the timed examination.

## TIMED EXAMINATION

Following the practice examination, you will begin the actual examination. Before beginning, instructions for taking the examination are provided on-screen. The examination contains 115 test questions (100 scored and 15 pretest). Two hours are allotted to complete the examination. The following is a sample of what the computer screen will look like when candidates are attempting the examination.

The computer monitors the time you spend on the examination. The examination will terminate if you exceed the time limit. You may click on the

"Time" button in the lower right portion of the screen or select the TIME key to monitor your time. A digital clock indicates the time remaining for you to complete the examination. The time feature may also be turned off during the examination.



Only one examination question is presented at a time. The question number appears in the lower right portion of the screen. The entire question appears on-screen (i.e., stem and four options labeled A, B, C and D). **Indicate your choice by either entering the letter of the option you think is correct (A, B, C or D) or clicking on the option using the mouse. To change your answer, enter a different option by pressing the A, B, C or D key or by clicking on the option using the mouse.** You may change your answer as many times as you wish during the examination time limit.

To move to the next question, click on the forward arrow (>) in the lower right portion of the screen or select the NEXT key. This action will move you forward through the examination question by question. If you wish to review any question or questions, click the backward arrow (<) or use the left arrow key to move backward through the examination.

An examination question may be left unanswered for return later in the testing session. Questions may also be bookmarked for later review by clicking in the blank square to the right of the Time button. Click on the double arrows (>>) or select the NEXT key to advance to the next unanswered or bookmarked question on the examination. To identify all unanswered and bookmarked items, repeatedly click on the double arrows (>>) or press the NEXT key. When the examination is completed, the number of examination questions answered is reported. If not all questions have been answered and there is time remaining, return to the examination and answer those questions. Be sure to answer each examination question before ending the examination. **There is no penalty for guessing.**

Online comments may be provided for any question by clicking on the button displaying an exclamation point (!) to the left of the Time button. This opens a dialogue box where comments may be entered. Comments will be reviewed, but individual responses will not be provided.

## INCLEMENT WEATHER OR EMERGENCY

In the event of inclement weather, or unforeseen emergencies on the day of an examination, the SCCE and AMP will determine whether circumstances warrant the cancellation, and subsequent rescheduling, of an examination. The examination will usually not be rescheduled if the Assessment Center personnel are able to open the Assessment Center.

Candidates may contact AMP's Weather Hotline at +1 913 495 4418 (24 hours/day) prior to the examination to determine if AMP has been

advised that any Assessment Centers are closed. Every attempt is made to administer examinations as scheduled; however, should an examination be canceled at an Assessment Center, all scheduled candidates will receive notification following the examination regarding a rescheduled examination date or reapplication procedures.

In the event of a personal emergency on the day of examination, a candidate may request consideration of rescheduling the examination without additional fee by contacting the SCCE in writing within 30 days of the scheduled examination session. A description of the emergency and supporting documentation are required. Rescheduling without additional fee will be considered on a case-by-case basis.

## **RULES FOR EXAMINATION**

1. Report to your designated Assessment Center location on the day of the examination at the time you were instructed when your appointment was scheduled.  
  
Candidates arriving more than 15 minutes late for an appointment will not be admitted, will forfeit their examination fee, and must re-register for the examination by contacting AMP, and paying the \$50 rescheduling fee.
2. No books, papers, dictionaries, other reference materials or personal items (e.g., purses, briefcases, coats) may be taken into the Assessment Center; you must leave all personal items at home or in your automobile. AMP will not be responsible for loss or damage.
3. No personal pens, pencils or other writing instruments will be allowed in the testing room. Pencils will be provided during check-in.
4. No electronic devices are permitted in the Assessment Center, including telephones or signaling devices such as pagers and alarms.
5. Each person will be provided with scratch paper to use during the examination. This paper must be returned to the proctor at the completion of testing, or you will not be allowed to receive a score report. No documents or notes of any kind may be removed from the examination room. All computer screens, questions, papers and written materials are the property of AMP and may not be reproduced in any form.
6. No questions concerning the content of the examination may be asked during the test.
7. Eating, drinking or smoking will not be permitted in the Assessment Center.
8. You may take a break whenever you wish, but you will not be allowed additional time to make up for time lost during breaks.
9. The proctor may dismiss a candidate from the examination for any of the following reasons:
  - If a candidate's admission to the examination is unauthorized.
  - If a candidate creates a disturbance, is abusive or otherwise uncooperative.
  - If a candidate gives or receives help or is suspected of doing so.
  - If a candidate attempts to take the examination materials or notes from the testing room.
  - If a candidate attempts to take the examination for someone else.
  - If a candidate is observed with notes.

Violation of any of the above provisions results in dismissal from the examination session. The candidate's score on the examination is voided and examination fees are not refunded. Evidence of misconduct is reviewed by the Ethics Committee of the SCCE to determine whether the candidate will be allowed to reapply for examination. If re-examination is granted, a complete application and examination fee are required to reapply.

## **FAILING TO REPORT FOR AN EXAMINATION**

A candidate who fails to report for an examination has 90 days from the originally scheduled examination session to remit the rescheduling fee and call AMP to schedule a new appointment for examination. A new application is not required.

A candidate who does not reschedule an examination within the 90-day period forfeits the application and all fees paid to take the examination. A complete application and examination fee are required to reapply for examination.

## **FOLLOWING THE EXAMINATION**

After you finish the examination, you are asked to complete a short evaluation of your testing experience.

Your score report will indicate a "pass" or "fail." Additional detail is provided in the form of raw scores by major content category. A raw score is the number of questions you answered correctly. Your pass/fail status is determined by your raw score. Even though the examination consists of 115 questions, your score is based on 100 questions. Fifteen (15) questions are "unscored" questions.

The methodology used to set the minimum passing score is the Angoff method, in which expert judges estimate the passing probability of each item on the examination. These ratings are averaged to determine the minimum passing score (i.e., the number of correctly answered questions required to pass the examination).

## **IF YOU PASS THE EXAMINATION**

If you pass the CCEP Examination, you are allowed to use the designation "Certified Compliance & Ethics Professional" (CCEP). You will receive a letter and certificate acknowledging your credential 6–8 weeks after the examination. Certification is valid for a period of two years.

The SCCE reserves the right to recognize publicly any candidate who has successfully completed a CCEP Certification Examination, thereby earning the certification credential. Recognition will be awarded so as not to embarrass any candidate who is unsuccessful in an attempt to achieve certification.

## **IF YOU DO NOT PASS THE EXAMINATION**

If you do not pass the examination, a reapplication form is provided at the bottom of your score report. To schedule another examination, submit this reapplication form and the rescheduling fee within 90 days following the failed examination. If a candidate applies for re-examination after 90 days following the failed examination, the full application and examination fee are required. Candidates failing the 2nd attempt must wait 180 days and file a full application with fees.

## **SCORES CANCELED BY THE SCCE OR AMP**

The SCCE and AMP are responsible for the integrity of the scores they report. On occasion, occurrences, such as computer malfunction or misconduct by a candidate, may cause a score to be suspect. The SCCE and AMP are committed to rectifying such discrepancies as expeditiously as possible.

The SCCE may void examination results if, upon investigation, violation of its regulations is discovered.

### REVOCATION OF CERTIFICATION

The following shall serve as grounds for prohibition from examination or revocation of certification:

- Intentional misrepresentation of information provided on a CCEP application
- Fraudulent submission of continuing education credits
- Admission to or conviction of any felony or misdemeanor directly related to the candidate or certificant's role as a compliance and ethics professional

**Hearing and Appeal Process:** Upon report of a candidate or certificant's action to SCCE by an individual, government agency, or other investigating authority, a hearing before the full SCCE Ethics Review Committee for the determination of facts will be convened in a venue to be determined by the committee chair. The accused and all appropriate witnesses will be called before this hearing for a presentation of all relevant information needed to determine the facts related to the charge against the accused. Upon satisfactory determination of the facts as recorded by a unanimous vote of the full committee, the committee will conduct a closed session to determine the action to be taken as a result of the charge. The decision of the committee may be appealed with or without cause by the accused to the SCCE Board of Directors. The SCCE Board of Directors will review the facts as determined by the Ethics Review Committee and may at their discretion convene a second hearing before the Board for the determination of fact. Upon a vote of unanimous consent to accept the facts as presented, the Board will convene in closed session to determine final action to be taken in the matter of the charge before them.

### CONFIDENTIALITY

Information about candidates for testing or renewal of certification and their examination results are considered confidential; however, the SCCE reserves the right to use information supplied by or on behalf of a candidate in the conduct of research. Studies and reports concerning candidates will contain no information identifiable with any candidate, unless authorized by the candidate.

### DUPLICATE SCORE REPORT

Candidates may purchase additional copies of their score reports at a cost of \$25 per copy. Requests must be submitted to AMP, in writing, within 12 months after the examination. The request must include the candidate's name, Social Security number, mailing address, telephone number, date of examination and examination taken. Submit this information with the required fee payable to AMP. Duplicate score reports will be mailed within approximately two weeks after receipt of the request.

### RENEWAL OF CERTIFICATION

Attaining certification is an indication of mastery of a well-defined body of knowledge at a point in time. Periodic renewal of the certification is required to maintain certified status. Initial certification or renewal of certification is valid for two years.

Certificants may renew their certification through one of two routes:

1. Re-examination and appropriate fee when eligibility requirements are satisfied OR
2. Submission of the CCEP Renewal application documenting 40 CCEP continuing education credits for the two-year period and payment of the renewal fee.

**Failure to Renew:** When a certificant does not maintain their credential (CEUs have not been maintained), and does not submit the appropriate forms and fees, candidates will be required to apply and retake the applicable examination. A certificant who fails to renew his/her credential within two years is no longer considered certified and may not use the credential in professional communications, such as on letterhead, stationery and business cards, in directory listings, and in signature.

If a candidate intends to maintain credentials, but will not meet the expiration deadline, we will allow a grace period. (See the website for more information on renewal policy).

**Re-examination:** Candidates who wish to maintain certification through examination must make application and pass the current version of the examination. Individuals maintaining certification through examination are required to pay an examination fee in addition to regular renewal fees (\$100 for members, \$200 for non-members).

# Society of Corporate Compliance & Ethics

## Certified in Compliance & Ethics Professional (CCEP)

### Examination Application



**Please do not use this application for exams taken at SCCE events!**

The application for SCCE event exams can be found on the SCCE web site [www.corporatecompliance.org](http://www.corporatecompliance.org) with the event information.

**To apply for the CCEP examination, please return the completed application with all appropriate fees to:**

**SCCE—CCEP Examination**  
**Applied Measurement Professionals, Inc. (AMP)**  
**18000 W. 105th Street, Olathe, KS 66061-7543 Fax +1 913 895 4651**

Incomplete applications will be returned with the examination fee minus a \$50 processing fee. Within approximately two weeks of receiving your application, AMP will forward either a confirmation notice or a letter explaining why the application is being returned.

## SECTION 1 – PERSONAL INFORMATION

Name _____		
Last	First	Middle
DOB _____	SCCE Member # _____	Have you been convicted of a felony? Yes <input type="radio"/> No <input type="radio"/>
Employing Organization _____		
Title _____		
Preferred Mailing Address _____		
_____		
Phone _____	Fax _____	E-mail _____

## SECTION 2 – EXPERIENCE

Please indicate which one of the three criteria below you are meeting to fill the professional experience requirement for certification:

**Active Compliance Professional**

Have a minimum of one year of full-time work experience in compliance and ethics, with at least 50 percent of job duties dedicated to compliance and ethics, namely, those tasks reflected in the exam content outline.

**Allied Professionals**

Have a minimum of 1,500 hours of work experience in compliance and ethics, performing tasks reflected in the exam content outline, obtained over a period not to exceed two years.

If experience is with an employing organization or organizations other than your current employer listed above, please indicate their name and phone number here:

\_\_\_\_\_

**Student**

Students who complete the compliance & ethics coursework from an SCCE accredited university program.

### SECTION 3 – CONTINUING EDUCATION

Please fill out the table below, indicating the program code, title, date and number of credits for each program, article, product or presentation you are submitting to fulfill the continuing education requirement for certification.

Candidates for certification must submit documentation of twenty (20) SCCE–CCEP continuing education credits received in the twelve-month period preceding the date of application.

You must have documentation of obtained credits for two hours in each of the ten subject areas (see list below). Please refer to your certificates to determine subject matter addressed in each accredited activity.

- Application of Management Practices for the Compliance Professional
- Application of Personal and Business Ethics in Compliance
- Written Compliance Policies and Procedures
- Designation of Compliance Officers and Committees
- Compliance Training and Education
- Communication and Reporting Mechanisms in Compliance
- Enforcement of Compliance Standards and Discipline
- Auditing and Monitoring for Compliance
- Response to Compliance Violations and Corrective Actions
- Complying with Government Regulations

Code	Title	Date	Credits
<b>Total Credits Submitted</b>			

All continuing education submissions are subject to audit. Intentional or willful non-compliance with CE requirements may be considered grounds for disqualification from the examination or revocation of certification.

### SECTION 4 – FEES

Please include all fees with your application. We are unable to accept personal checks. Please submit money order, cashier's check, or credit card information in the space provided.

SCCE Member \$250 **OR** Non-member \$350

Payment Form    Business Check    Cashier's Check    Money Order    Credit Card ( ) Visa ( ) Mastercard ( ) Amex

# \_\_\_\_\_ Exp. Date \_\_\_\_\_

### SECTION 5 – CERTIFICATION

By signing below, I attest that I have read and understand the material and policies included in the CCEP Candidate Handbook. I further attest that all information included on this application and in the supporting documentation is true and correct. I acknowledge that if any of the information supplied is shown to be incorrect, I may be subject to prohibition from the examination and/or revocation of certification in accordance with SCCE policy. I authorize SCCE to conduct a search of my criminal background.

\_\_\_\_\_  
Signature \_\_\_\_\_  
Date

## SECTION 6 – DESCRIPTIVE INFORMATION

This information is optional and will be used to help SCCE evaluate its program.

### A. How long have you been in the corporate compliance and ethics field?

- 1 to under 3 years
- 3 to under 5 years
- 5 to under 10 years
- 10 years or more

### B. How many employees are there at your company?

- Less than 5
- 5 – 9
- 10 – 24
- 25 – 49
- 50 +

### C. What is the your total annual company revenue?

- Less than \$20 million
- \$20 – \$49 million
- \$50 – \$99 million
- \$100 – \$249 million
- \$250 – \$499 million
- \$500 – \$999 million
- \$1 – \$2 billion
- More than \$2 billion

### D. Do you consider your company to serve a single state, multiple states, the entire U.S., or global.

- Single State
- Multiple States
- Entire U.S.
- Global

### E. What best describes your job?

- Compliance Officer
- Ethics Officer
- Compliance & Ethics Officer
- Attorney (In-house Counsel)
- Attorney (Private Practice)
- Administrator/CEO/COO
- Consultant
- Other \_\_\_\_\_

### F. Gender

- Male
- Female

### G. Do you consider yourself...

- White/Caucasian
- American Indian
- Black/African American
- Asian
- Hispanic
- Other







# Request for Special Examination Accommodations

If you have a disability covered by the Americans with Disabilities Act, please complete this form and the Documentation of Disability-Related Needs on the reverse side so your accommodations for testing can be processed efficiently. The information you provide and any documentation regarding your disability and your need for accommodation in testing will be treated with strict confidentiality.

## CANDIDATE INFORMATION

Name (Last, First, Middle Initial, Former Name)

Mailing Address

City

State

Zip Code

## SPECIAL ACCOMMODATIONS

I request special accommodations for the \_\_\_\_\_ examination.

Please provide (check all that apply):

- Special seating or other physical accommodations
- Reader
- Extended testing time (time and a half)
- Distraction-free room
- Other special accommodations (Please specify.)
- More lighting

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Comments:

\_\_\_\_\_

\_\_\_\_\_

Signed:

Date:

Return this form with your examination application and fee, 45 days prior to the examination date, to:  
 AMP Candidate Services Department, 18000 West 105th Street, Olathe, KS 66061  
 If you have questions, please call the Candidate Services Department at 888 519 9901.







Law & Business

- CCH
- MediRegs
- Aspen Publishers

Brown | M<sup>c</sup>Carroll

L.L.P

Attorneys at Law



**For questions regarding certification, contact:**

Society of Corporate Compliance and Ethics (SCCE)  
6500 Barrie Road, Suite 250  
Minneapolis, MN 55435, United States  
+1 952 933 4977 or 888 277 4977  
Fax +1 952 988 0146  
e-mail: [ccep@corporatecompliance.org](mailto:ccep@corporatecompliance.org)

**For questions regarding examination application and administration, contact:**

Applied Measurement Professionals, Inc. (AMP)  
18000 W. 105th Street  
Olathe, KS 66061-7543, United States  
888 895 4600  
Fax +1 913 895 4651  
e-mail: [info@goAMP.com](mailto:info@goAMP.com)