



Sample Exam

Exam Name: Certified Compliance Manager (CCM)

Exam Code: CCM-102

Which of the following best describes the primary purpose of compliance in organizations?

- A) To reduce operational costs
- B) To improve product quality
- C) To ensure adherence to legal and ethical standards
- D) To enhance marketing strategies

Answer: C

In the context of compliance management, corporate governance primarily provides:

- A) Guidelines for employee promotions and incentives
- B) A framework for decision-making, accountability, and performance monitoring
- C) Technical specifications for IT systems
- D) Marketing strategies for global expansion

Answer: B

Which regulation specifically focuses on the protection of sensitive patient data in the healthcare sector?

- A) Sarbanes-Oxley Act (SOX)
- B) Basel III
- C) Health Insurance Portability and Accountability Act (HIPAA)
- D) ISO 9001

Answer: C

A key responsibility of a compliance manager involves:

- A) Increasing product sales
- B) Developing, implementing, and overseeing compliance programs
- C) Designing marketing campaigns
- D) Creating financial investment strategies

Answer: B

Which of the following statements about compliance in different industries is most accurate?

- A) Financial compliance mainly focuses on patient data protection.
- B) Healthcare compliance prioritizes anti-money laundering measures.
- C) Manufacturing compliance often emphasizes workplace safety and environmental regulations.
- D) Tech industry compliance has minimal focus on data privacy.

Answer: C

Effective compliance management in a global organization requires:

- A) Adopting a one-size-fits-all approach for all jurisdictions
- B) Harmonizing diverse regulatory mandates and continuously updating compliance strategies
- C) Ignoring industry-specific regulations to simplify processes
- D) Relying solely on internal auditing without engagement with regulatory agencies

Answer: B

Which of the following is the first step in developing a compliance program?

- A) Training employees on ethical conduct
- B) Conducting a risk assessment to identify areas vulnerable to compliance breaches
- C) Drafting company policies and procedures
- D) Implementing whistleblower mechanisms

Answer: B

The primary purpose of setting SMART compliance objectives is to:

- A) Minimize the cost of compliance programs
- B) Ensure compliance activities are measurable, achievable, and aligned with organizational strategy
- C) Avoid audits by regulators
- D) Delegate compliance responsibilities solely to managers

Answer: B

Which of the following best describes the relationship between policies and procedures in a compliance program?

- A) Policies provide detailed instructions, and procedures outline ethical intentions
- B) Policies set overarching guidelines, while procedures specify step-by-step actions to implement them
- C) Policies are optional, while procedures are mandatory
- D) Policies are internal, and procedures are external regulatory documents

Answer: B
