



**Certified**

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**Compliance**

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**Executive (CCE)**

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**Application**

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Health Ethics Trust  
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# Health Ethics Trust

The Health Ethics Trust has offered compliance professional certification (Certified Compliance Professional: CCP) since the Trust's inception in 1995. The Council itself has certified compliance professionals since 1988, including healthcare compliance professionals. No organization has trained more working healthcare compliance professionals. The goal of the Trust's certification program is to promote professionalism and competence throughout the healthcare compliance community.

The CCE certification is appropriate for compliance professionals who serve in compliance leadership roles such as chief compliance officer of an organization or a division of an organizations. There is no question that there are different levels of accomplishment among compliance professionals and that the highest levels deserve special recognition.

The CCE process is overseen by the Education Committee of the Council of Ethical Organizations. This is an independent and voluntary committee of experienced compliance professionals from around the country. Members of this committee oversee changes to HET certification criteria as well as reviewing applications for HET certification.

Compliance professionals who wish to complete the certification process must earn a total of 170 points in the identified categories within a three-year period to qualify.

Part I	Compliance Experience	60 - 100	POINTS
Part II	Compliance Community Involvement	20 - 100	POINTS
Part III	Educational Background	50 - 100	POINTS
Part IV	Continuing Education	50 - 100	POINTS
Part V	Essay Examination	10	POINTS

There is an application fee of \$300 non-members / \$150 HET members and HET organizational members to process each CCE application.

## Part I:

### COMPLIANCE EXPERIENCE

(60 - 100 POINTS)

1. Applicant must have a minimum of 60 points the Compliance Experience area.
2. Applicant must have a minimum of three-years active compliance experience to apply.
3. A letter from the applicant's sponsor is required to verify in the position.

1. Senior Director (or equivalent title) Experience.  
*(overall in charge of the daily program implementation)*

From: \_\_\_\_\_ To: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 20 = \_\_\_\_\_ Points

2. Assistant Director / Program Manager experience.  
*(overall involvement in the daily program implementation under a Senior Director)*

From: \_\_\_\_\_ To: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 15 = \_\_\_\_\_ Points

3. Manager experience.  
*(full time involvement in the daily program implementation under a senior Compliance Officer)*

From: \_\_\_\_\_ To: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 10 = \_\_\_\_\_ Points

4. Board Member.

From: \_\_\_\_\_ To: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 10 = \_\_\_\_\_ Points

5. Member or Chair of \_\_\_\_\_ Committee.  
*(name of committee to which compliance function reports)*

From: \_\_\_\_\_ To: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 20 = \_\_\_\_\_ Points

<b>SUBTOTAL Compliance Experience Points (60 points min):</b> _____ <b>Points</b>
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## Part II:

### COMPLIANCE COMMUNITY INVOLVEMENT (20 - 100 POINTS)

1. Applicant must have a minimum of 20 points in the Compliance Community Involvement area.
2. Involvement in the Compliance Community can include teaching compliance related courses at a community college, college, university, or professional association event; serving on compliance related committees outside your organization (e.g., HET Education Committee, the Audit or the Ethics/Compliance Committee of an outside organization), or publishing papers in recognized professional publications. Other activities that advance the compliance community will be considered.

Use additional pages if necessary.

1. Member of a compliance related committee outside your organization:

Name of Committee: \_\_\_\_\_ To: \_\_\_\_\_

Name of Organization: \_\_\_\_\_

Years in position: \_\_\_\_\_ x 10 = \_\_\_\_\_ Points

Years in position as committee chair or Co-Chair: \_\_\_\_\_ x 20 = \_\_\_\_\_ Points

2. Published compliance related papers (up to 30 points): *(Provide a copy of each publication.)*

Name of Publication: \_\_\_\_\_ To: \_\_\_\_\_

Sponsor: \_\_\_\_\_

Title of Paper: \_\_\_\_\_

Date(s) of publication: \_\_\_\_\_ Number of pages: \_\_\_\_\_ x 2 = \_\_\_\_\_ Points

3. Compliance related courses taught outside your organization:

Sponsor: \_\_\_\_\_

Title of Program: \_\_\_\_\_

Date(s) of program: \_\_\_\_\_ Number of hours: \_\_\_\_\_ x 5 = \_\_\_\_\_ Points

4. Service on boards or committees of compliance related organizations:

Sponsor: \_\_\_\_\_

Title of Program: \_\_\_\_\_

Date(s) of program: \_\_\_\_\_ Number of hours: \_\_\_\_\_ x 5 = \_\_\_\_\_ Points

<b>SUBTOTAL Compliance Community Points (30 points min):</b> _____ <b>Points</b>
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## Part III:

### EDUCATIONAL BACKGROUND

(50 - 100 POINTS)

1. Applicants must have received a Bachelor's Degree.
2. Only highest degree earned may be used toward your total score.

Note: HET reserves the right to ask applicant to verify education.

**BACHELOR'S DEGREE or EQUIVALENT** — 50 points

\_\_\_\_\_ Points

Institution: \_\_\_\_\_

Location: \_\_\_\_\_

Date: \_\_\_\_\_

**MASTER'S DEGREE** — 75 points

\_\_\_\_\_ Points

Institution: \_\_\_\_\_

Location: \_\_\_\_\_

Date: \_\_\_\_\_

**DOCTORATE DEGREE** — 100 points

\_\_\_\_\_ Points

Institution: \_\_\_\_\_

Location: \_\_\_\_\_

Date: \_\_\_\_\_

**SUBTOTAL Educational Background Points (30 points min):**

\_\_\_\_\_ Points

## Part IV: CONTINUING EDUCATION

**(30 - 100 POINTS)**

HET's Certification Intensive Course — 30 points  
8 points — full day  
4 points — half day  
1 point — hour

1. The applicant must have a minimum of 30 points.
2. All courses and audio/web conferences sponsored by the Health Ethics Trust are valid for the certification program.
3. If you are submitting courses and audio/web conferences sponsored by other organizations, please provide a complete overview of the course or audio/web conference as well as the sponsor and course title. Each will be evaluated for applicability.
4. At least half (50%) of continuing education points must be directly related to the compliance field.

*Please use additional pages if necessary.*

**SPONSOR:** \_\_\_\_\_ Points

Title of Program: \_\_\_\_\_

Date(s): \_\_\_\_\_

Number of Hours: \_\_\_\_\_

**SPONSOR:** \_\_\_\_\_ Points

Title of Program: \_\_\_\_\_

Date(s): \_\_\_\_\_

Number of Hours: \_\_\_\_\_

**SPONSOR:** \_\_\_\_\_ Points

Title of Program: \_\_\_\_\_

Date(s): \_\_\_\_\_

Number of Hours: \_\_\_\_\_

**SPONSOR:** \_\_\_\_\_ Points

Title of Program: \_\_\_\_\_

Date(s): \_\_\_\_\_

Number of Hours: \_\_\_\_\_

<b>SUBTOTAL Continuing Education Points (30 points min):</b> _____ <b>Points</b>
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## Part V:

### ESSAY EXAMINATION

(10 POINTS)

Once an applicant has 160 qualified points, the applicant may request the Essay Examination. The Essay Examination is evaluated by the Education Committee.

1. An essay shall not exceed 1000 words type written. Generally, an applicant is asked to answer two questions in 500 words or less each.
2. Topics not included on this list may be submitted for review and approval.

#### *Sample Topics.*

1. As Compliance Officer, describe how your involvement has improved compliance in medical research and/or the IRB in your organization.
2. As Compliance Officer, describe how your involvement has improved compliance with Sarbanes-Oxley or equivalent governance standards.
3. What are the pros and cons of emphasizing ethics and values as the cornerstone of your compliance program?

**SUBTOTAL Essay Examination Points (10 points min):**

\_\_\_\_ **Points**



# Health Ethics Trust

**Please record your subtotal number of points from each section here:**

Part I - Compliance Related Experience (60 – 100 POINTS) \_\_\_\_\_

Part II - Compliance Community Involvement (20 – 100 POINTS) \_\_\_\_\_

Part III - Educational Background (20 – 100 POINTS) \_\_\_\_\_

Part IV - Related Education (30 – 100 POINTS) \_\_\_\_\_

Part V - Essay Examination (10 POINTS) \_\_\_\_\_

<b>TOTAL Points (170 Points Required for Certification):</b>	<b>_____ Points</b>
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*I verify that all information provided is accurate to the best of my knowledge.*

SIGNATURE: \_\_\_\_\_

## **Application checklist – Are you ready to submit?**

- Completed application form
- Brief introductory/cover letter
- Letter of recommendation
- Resume/summary of work experience
- One copy of the entire application
- The appropriate application fee.

## **Where do I send my application?**

Please submit applications via email to [mpastin@corporateethics.com](mailto:mpastin@corporateethics.com) or send one copy of the application to the following address:

Attn: Mark Pastin  
Health Ethics Trust  
7205 Regent Drive  
Alexandria, VA 22307

## **Questions or further information:**

For further information, please contact HET at 703-683-7916 or send an email to [info@corporateethics.com](mailto:info@corporateethics.com).