

# HEALTH ETHICS TRUST

## CERTIFIED COMPLIANCE EXECUTIVE (CCE) APPLICATION

Health Ethics Trust  
1727 King Street, Suite 300  
Alexandria, VA 22314  
Phone: (703)683-7916  
Fax: (571)551-6080  
[cbutler@corporateethics.com](mailto:cbutler@corporateethics.com)

# 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 programs is to promote professionalism and competence throughout the healthcare compliance community.

While the more advanced CCE certification for compliance leaders is a comparatively new certification, the need for this advanced certification status has been evaluated over several years. There is no question that there are different levels of accomplishment among compliance professionals and that the highest levels of accomplishment deserve separate 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 (healthcare and non-healthcare) 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	Education Background	50 – 100	POINTS
Part IV	Continuing Education	30 – 100	POINTS
Part V	Essay Examination	10	POINTS

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

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## Part I:

### COMPLIANCE EXPERIENCE

(60 - 100 POINTS)

1. Applicant must have a minimum of 60 points in 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 years 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

**SUBTOTAL Compliance Experience Points (60 point min):**

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

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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 Legal 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:

Name of Organization:

From:

To:

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:

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

**SUBTOTAL Compliance Community Points (20 point min)**

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

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## Part III:

### EDUCATION 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:

<b>SUBTOTAL Education Background Points (50 points min):</b>	_____ <b>Points</b>
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## Part IV:

### CONTINUING EDUCATION

**(30 – 100 POINTS)**

HET's Executive 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 Council of Ethical Organizations/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:

**SUBTOTAL Continuing Education Points (30 points min): \_\_\_\_\_ Points**

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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.
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 (10 points):**

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



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

Part I - Compliance Experience (60 - 100 POINTS)

\_\_\_\_\_

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

\_\_\_\_\_

Part III - Education Background (50 – 100 POINTS)

\_\_\_\_\_

Part IV - Continuing Education (30 – 100 POINTS)

\_\_\_\_\_

Part V - Essay Examination (10 POINTS)

\_\_\_\_\_

**Total Points (170 Points Required for Certification):** \_\_\_\_\_

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 online at [www.healthethicstrust.com/ccesubmission](http://www.healthethicstrust.com/ccesubmission), email documents to [drreardon@corporateethics.com](mailto:drreardon@corporateethics.com) or send one copy of the application to the following address:

Attn: Cindy Butler  
Council of Ethical Organizations  
Health Ethics Trust Division  
1727 King Street, Suite 300  
Alexandria, VA 22314

## **Questions or further information:**

For further information, please contact the Health Ethics Trust at 703-683-7916 or send an email to [cbutler@corporateethics.com](mailto:cbutler@corporateethics.com).