



**POST-TEST for UBO Compliance Program:
Enterprise Compliance Plan & Internal Audit Checklist**
[broadcast 25 and 27 June 2024]

POST-TEST INSTRUCTIONS: View the recorded Webinar located at [UBO Learning Center Archived Webinars](#) and then complete all of the 10 questions below. Submit your answers via e-mail to webmeeting@triafed.com with “Answers, Post Test “**UBO Compliance Program: Enterprise Compliance Plan & Internal Audit Checklist**” in the subject line (a read receipt for your records is recommended). If at least 70% of the questions are answered correctly, you will receive a Certificate of Approval with Index Number via email. If you receive a score of 69% or lower, you will be notified via email and may review the archived Webinar and resubmit the post-test. Results may take up to five business days. If you have any questions, please submit those as well to webmeeting@triafed.com.

- 1) **Multiple Choice:** The Documentation tab allows the MTFs to _____.
 - a. Listen to all updated information in order to support the checklist
 - b. Add relevant documents to support the checklist
 - c. Add proof of evidence
 - d. B and C are correct

- 2) **True or False:** The newly established DHA UBO Compliance Program will be synchronized with the Enterprise Audit Response and Remediation efforts to identify UBO program weakness, risks, and areas for improvement.
 - a. True
 - b. False

- 3) **True or False:** You are required to submit key supporting documents (KSDs) documentation during the submission of the checklist.
 - a. True
 - b. False

- 4) **Fill in the blank:** MTF UBOs will complete and submit the endorsed checklist no later than the _____ day of the second month in any given quarter.
 - a. 10th
 - b. 1st
 - c. 15th
 - d. 30th

- 5) **Multiple Choice:** When preparing for the checklist for audit, which tab will the MTFs start the checklist?
 - a. Version
 - b. Index
 - c. Documentation
 - d. Glossary

- 6) **Multiple Choice:** What are two of the major components of the DHA UBO Compliance Program? (Circle two)



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- a. DHA UBO Compliance Audit Checklist
 - b. DHA UBO Compliance Plan
 - c. DHA UBO Compliance Audit Financial Report
 - d. DHA UBO Compliance Audit Revenue Report
- 7) **True or False:** In preparing the checklist for the audit, you must review and update the UBO Roster with any changes prior to submitting the checklist, or as changes occur.
- a. True
 - b. False
- 8) **Multiple Choice:** What month will Phase 1, MSA (Public and Federal), be implemented?
- a. March 2025
 - b. October 2024
 - c. July 2024
 - d. January 2024
- 9) **Multiple Choice:** Some of the Compliance Program standardized changes include_____.
- a. Updating the reporting and submission requirements
 - b. Removal of outdated, irrelevant questions
 - c. Removal of claims submission worksheets
 - d. All the above
- 10) **True or False:** Every month a sample of four to five MTFs are to provide key supporting documents (KSDs) with their quarterly submission.
- a. True
 - b. False