

2021 ANNUAL REPORT





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Letter from the President

As we enter 2022, we do so with a new hope that the worst of the pandemic may be behind us and a bit of normality will soon return.

While the last two years have been difficult, Society of Corporate Compliance and Ethics & Health Care Compliance Association (SCCE & HCCA)[®] has not let this hinder our efforts to serve the compliance profession. In fact, this has been a time of innovation and celebration of milestones in our journey. The HCCA Compliance Institute (CI) celebrated its 25th anniversary, and we marked the 20th anniversary for the SCCE Compliance & Ethics Institute (CEI).

We continue to successfully expand our educational programs, embracing a mix of in-person, virtual, and hybrid events. You can expect us to continue offering this variety of options into the future to meet the expanding needs of the compliance and ethics profession.

We also greatly increased the number and scope of conference offerings. A total of 105 meetings were offered in 2021, which included a mix of long-held annual events and new virtual conferences addressing topics such as environmental, social, and governance (ESG) matters; effective compliance training; challenges of the nonprofit sector; managing employee reporting; effective compliance ambassador programs; and the role of technology in compliance.

The year also saw the launch of a brand-new Complete Healthcare Compliance Manual, an invaluable addition to the library of any healthcare compliance program and a complement to The Complete Compliance



and Ethics Manual published for non-healthcare programs.

The manuals and many other publications are published both in print and digitally on COSMOS (compliancecosmos.org), our digital platform. COSMOS was given improved functionality, and the number of resources available in it continued to increase. Our goal is to make it the central repository of knowledge for the compliance profession.

Finally, a significant change came to Compliance Certification Board (CCB)[®] this year, with the launch of remote proctored exams. Individuals seeking to obtain their CHC, CHRC, CHPC, CCEP, or CCEP-I designations no longer are required to visit a testing center or sit for the exams at an SCCE or HCCA event. With remote proctoring, it is now possible to take the exams at home or in the office through your computer. This will greatly increase access and make it much easier for experienced compliance professionals to earn their certifications.

It is my pleasure serving as the association’s president, and I hope to be able to see you at an SCCE or HCCA event in the near future.

Robert Bond,
Board President, SCCE & HCCA

Education and Resources in the Hybrid Era

To meet the needs of our over 18,000 members in 90 countries, SCCE & HCCA has developed a wide range of educational opportunities, resources, and industry connections. In 2021, we continued to offer our existing conferences and added a significant number of new ones in virtual, in-person, and hybrid formats.

New Educational Events in 2021

With in-person, virtual, and hybrid options now on the table, SCCE & HCCA was able to explore new educational offerings across different sectors, industries, and proficiency levels. From ESG initiatives to ambassador programs, technology, and much more, we created new, focused educational opportunities to deepen compliance professionals' expertise in critical areas of practice and explore new issues and emerging trends.

- Corporate Compliance Enforcement Conference
- Creating Effective Compliance Training
- Compliance Solutions Across Industries
- ESG and Compliance Conference
- Technology and Compliance Conference
- Encouraging, Managing, and Integrating Employee Reporting
- Leading An Effective Ethics & Compliance Ambassadors Program
- Conducting Compliance Investigations



A Milestone Year

2021 was an exciting year for SCCE & HCCA, celebrating important milestones for our annual conferences with the 25th anniversary of the CI and 20th anniversary of the CEI. SCCE's CEI offered a hybrid approach, in which 963 participated either on-site in Las Vegas or online.



Continued Support of the Profession

Compliance and ethics is a rapidly growing and changing profession. In addition to conferences, SCCE & HCCA remains committed to developing online and printed compliance resources. We are also pleased to help develop the next generation of compliance professionals through the universities and colleges that use our compliance manuals as part of their curriculum.

Books and Publications

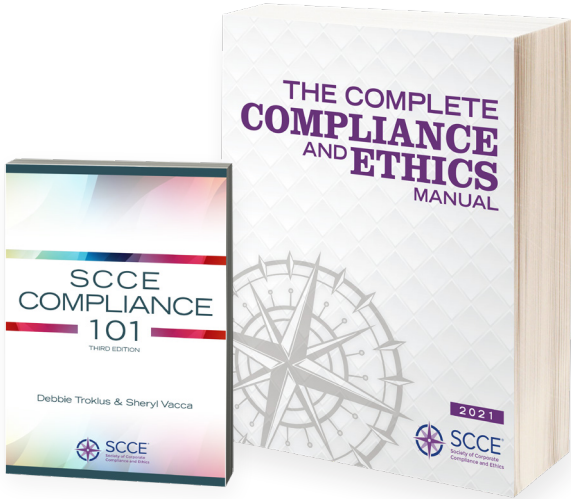
NEW in 2021

- **The Complete Healthcare Compliance Manual:** Ideal for both new and seasoned healthcare compliance professionals, this two-volume manual provides first-class guidance and insights on the fundamentals of program management, risk assessment, compliance training, auditing and monitoring, and much more. With 50+ actionable program-related resources, including sample board reports, checklists, forms, surveys, policy templates, and a healthcare risk assessment template, practitioners will find this to be an essential resource for developing and maintaining an effective healthcare compliance program.
- **False Claims in Healthcare:** An essential guide to the False Claims Act and how it applies to healthcare compliance issues.

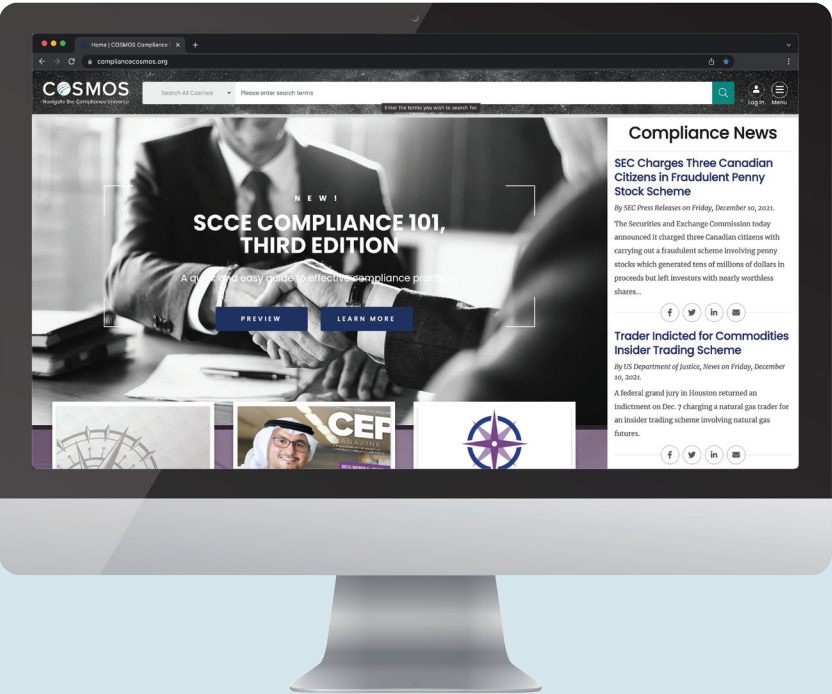


Updated for 2021

- **The Complete Compliance and Ethics Manual:** Written by more than 80 compliance and ethics experts, and with 1,100 pages of content, this trusted resource provides practical guidance that enables a practitioner to establish, maintain, and improve a compliance and ethics program.
- **SCCE Compliance 101, Third Edition:** This guidebook offers a concise overview of compliance programs, how they operate, and the compliance officer's role.



Our robust online content platform, COSMOS®, continued to expand in 2021, offering subscribers a growing selection of compliance and ethics resources and updated content. This includes books, newsletters, articles, conference materials, and much more. Users can quickly and easily search content from any computer, tablet, or phone to find the information they seek.



Ongoing Support for Practitioners



The Compliance & Ethics Blog: Additional resources featuring written content from today's compliance and ethics leaders.

Compliance Perspective podcast: The podcast provides insights into hot topics. In 2021, we released 101 new podcasts.

SCCE & HCCA's Job Boards: A place for compliance programs and professionals to match job openings and candidates.

SCCEnet and HCCAnet: Complimentary social networks that provide compliance and ethics professionals with a space to ask questions of their peers, build community, and network.

Member-Exclusive Publications

Each month, SCCE & HCCA members receive the latest issue of our magazines: SCCE's *Compliance and Ethics Professional*® (CEP) Magazine or HCCA's *Compliance Today*® magazine. Both are provided in print as well as on COSMOS. In 2021, *Ethikos*® became a member benefit as a quarterly newsletter.

- **CEP Magazine** and **Compliance Today** cover the latest insights, tips, and tools for the compliance and ethics profession.
- **Ethikos** is a digital newsletter dedicated to demonstrating the value of business ethics, available on COSMOS.



Certification

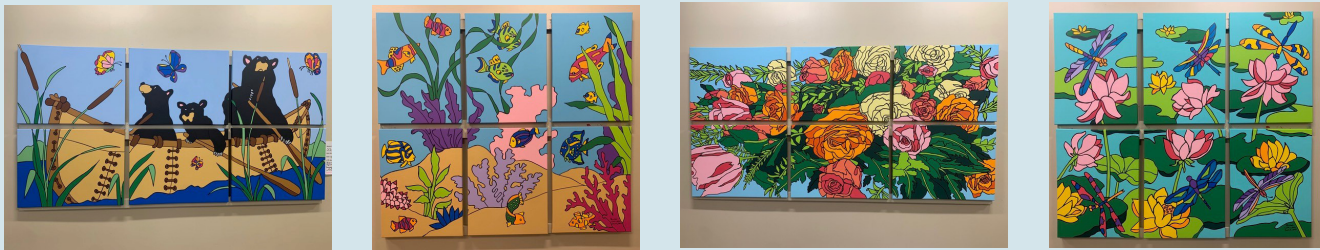
Certification provides a national standard of requisite compliance knowledge. It encourages continued personal and professional growth in the practice of compliance and ethics and provides a method of demonstrating expertise. Compliance Certification Board (CCB) designations enhance certificate holders’ credibility within their organizations and among their peers.

In 2021, CCB launched a remote proctored exam option for compliance and ethics professionals seeking nationally recognized designations.

Through the remote proctor option, exam candidates can earn their designation from the comfort and safety of their home or office, increasing access to the certification at a time when so many are working from home.



Strengthening Community Ties



Giving Back

SCCE & HCCA is dedicated to giving back to the community. In the fall, SCCE partnered with PaintFest to give CEI attendees the opportunity to benefit the Foundation for Hospital Art. Attendees were guided through painting artworks spanning multiple canvases. The murals were donated to Las Vegas area hospitals.

Writing Contest

HCCA sponsored Mitchell Hamline School of Law's 3rd annual Roy Snell Health Care Regulatory and Compliance Writing Competition. The competition honors Roy Snell, the cofounder and former CEO of SCCE & HCCA, for his visionary leadership and extraordinary contributions to the field of Health Care Compliance.

This demanding competition requires students to analyze a hypothetical fact pattern involving an organization facing multifaceted healthcare regulatory/compliance matters. They then write two separate internal memoranda to two different recipients within the organization. A panel of judges selects three winners.



Thought Leadership

For the second year in a row, SCCE & HCCA was recognized in JD Supra Readers' Choice Awards, which acknowledge top authors and firms for their thought leadership in key topics during all last year. JD Supra editors selected award recipients from over 65,000 thought leaders.

The Future of Compliance

As we look to 2022, SCCE & HCCA will continue to serve the evolving needs of the compliance community. We are hopeful that the COVID-19 pandemic will continue to wane and that more of our conferences will be offered in person. At the same time, we plan to continue offering existing and new programs online to meet the compliance and ethics community's needs.

We will also continue to develop new resources for compliance and ethics professionals to help our community learn and connect. Topics for expansion include the nonprofit sector, small organizations, risk assessment and management, culture, and more.



Financial Statements

Consolidated Statement of Financial Position December 31, 2021

| Assets | |
|---------------------------------------|--------------|
| Current Assets | |
| Cash and Cash Equivalents | \$3,454,171 |
| Accounts Receivable | 279,922 |
| Inventories | 27,068 |
| Prepaid and Deferred Expenses | 1,644,300 |
| Total Current Assets | 5,405,461 |
| Property, Equipment and Trademarks | 7,849,681 |
| Investments | 15,476,844 |
| Goodwill | 1,732,786 |
| Other | 303,420 |
| Total Assets | \$30,768,192 |
| Liabilities and Net Assets | |
| Current Liabilities | |
| Accounts Payable and Accrued Expenses | \$1,751,364 |
| Deferred Revenue | 5,400,002 |
| Total Current Liabilities | 7,151,366 |
| Other Liabilities | 303,420 |
| Total Liabilities | 7,454,786 |
| Net Assets | \$23,313,406 |
| Total Liabilities and Net Assets | \$30,768,192 |

Financial Statements

Consolidated Statement of Activities Year Ended December 31, 2021

| | |
|--------------------------------------|--------------|
| Revenues | |
| Program Revenues | \$17,208,116 |
| Employee Retention Credit Grants | 1,706,991 |
| Investment Income | 894,071 |
| Other Income | 24,070 |
| Total Revenues | 19,833,248 |
| Expenses | |
| Program Expenses | 13,598,478 |
| General and Administrative | 4,884,261 |
| Total Expenses | 18,482,739 |
| Operating Change in Net Assets | 1,350,509 |
| Nonoperating - Capital Transactions | (9,628) |
| Total Change in Net Assets | 1,340,881 |
| Total Net Assets - Beginning of Year | 21,972,525 |
| Total Net Assets - End of Year | \$23,313,406 |

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