



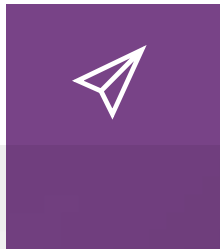
2020

Annual Report

Society of Corporate Compliance and Ethics®
& Health Care Compliance Association®

Letter from the President

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2020 will forever be remembered as the year of COVID-19. But it was also a year in which SCCE & HCCA demonstrated tremendous resilience in response to the pandemic. From the moment we were first affected, by having to convert our largest event, HCCA's Compliance Institute, from in-person to a virtual conference with two weeks' notice, the entire year became an exercise in a form of risk management that nobody ever imagined.

What began as reacting to the pandemic by cancelling some events and converting many others to virtual conferences, gradually became anticipation. Trying to guess when it might become safe to hold in-person events became the next phase. Just when we thought we might be able to resume in-person events, things got pushed further. As I write this in April 2021, we can only now see some light at the end of the tunnel for humankind, and for us as an association, to return to some form of normalcy.

What we went through as an association pales in comparison to the heartbreak that so many families have had to endure as a result of the pandemic. As bad as things could have been for us as an association, we learned new ways of doing things and a lot about ourselves in the process.

As you'll see in this report, SCCE & HCCA not only survived, but broke new ground in the process, serving the profession and our members in new and creative ways. We did more than simply convert events from in-person to virtual. We successfully launched several new educational conferences in 2020, expanding our reach and serving our membership in new ways. We began the lengthy process of establishing a remote proctoring option for CCB certification exams, completed in early 2021, which now allows compliance professionals to take exams in the comfort of their home or office. We also began providing four members-only web conferences per year as a new benefit included as part of membership. We collaborated with the Committee of Sponsoring Organizations (COSO) to author guidance on the application of the COSO ERM framework to the management of compliance risk, published by COSO in November. And our online content platform, COSMOS, continued to grow both in terms of content as well as capabilities.

SCCE & HCCA is emerging from the COVID-19 pandemic on very solid footing, both financially and programmatically, and we are prepared to continue serving the profession for many years to come.

I look forward to being able to visit with you, in person, in the near future. In the meantime, stay safe!

A Virtual Shift in the Era of COVID-19

Since its inception, Society of Corporate Compliance and Ethics® & Health Care Compliance Association® (SCCE & HCCA) has been dedicated to supporting the needs of compliance and ethics professionals across the globe, providing a wealth of educational opportunities, resources, and industry connections.

One of the most notable offerings we provide is our educational conferences, designed to give professionals the tools they need to develop and maintain successful compliance and ethics programs within their organizations. These events, attended by thousands each year, have traditionally been held on-site and in-person.

However, in 2020, the world shifted, and SCCE & HCCA shifted with it.

The 2020 Compliance Institute

In March of 2020, our team was hard at work finalizing details for the 24th Annual Compliance Institute (CI). As HCCA's flagship conference, the Compliance Institute is our largest event of the year with 3,000 industry professionals in attendance.

However, developments with the COVID-19 (Coronavirus) pandemic were fluctuating rapidly. What had once seemed feasible, wasn't any longer, and the safety of attendees, speakers, vendors, and staff was our first priority.

Still, the compliance profession needed support, and it was the time to get creative. CI's traditional, in-person event format had to be reimaged—with only two weeks before the event. SCCE & HCCA worked tirelessly to pivot to a virtual space and provide attendees with the same knowledgeable speakers and first-class educational experience they had come to expect. Although we ran into a few bumps along the way, what our team was able to create in such a limited amount of time was truly remarkable.

The Success of 2020's Virtual CI: Attendee Testimonials

"Content and speakers were amazing! It's a true testament to the HCCA team and your speakers that you guys were able to pull this all together... a truly wonderful experience from the safety of my home office." M.K.

"The virtual conference is an excellent idea for those with limited budgets—even without quarantine... Hats off to HCCA for putting this together so quickly." D.D.

"HCCA stepped up and met the needs of this group!" D.A.

"Given the circumstance, I'm so impressed with the platform, speakers, and response. Thank you to everyone at HCCA." H.G.

Virtual Conferences

The success of the virtual 24th Annual Compliance Institute gave us a model for online events moving forward. With a new understanding of how to thrive in this format, SCCE & HCCA began transitioning the majority of its in-person conferences to virtual events. We were also able to explore new educational offerings across different sectors, industries, and proficiency levels to continue supporting the compliance profession. Transitioning to the virtual space has not only been a huge success for our organization but the profession as a whole.

New Educational Events in 2020

- Essentials of Compliance Investigations Conference
- Applying the COSO ERM Framework to Compliance Risk Management
- Nonprofit Sector Compliance Conference
- Essentials of Compliance Investigations Conference
- Effectively Managing Your Relationship with the Board
- Remote Workforce Compliance Conference
- Compliance & Ethics Essentials Workshop
- COVID-19 Essentials for Healthcare Compliance Programs
- Healthcare Compliance Essentials Workshop

Continued Support of the Profession

As the demand for compliance and ethics education changed and grew in 2020, practitioners needed up-to-date information and top-tier resources to help guide them through this difficult time. SCCE & HCCA was determined to answer that call by adapting current educational resources and creating new opportunities to meet the needs of practitioners and the profession.

Compliance Risk Management: Applying the COSO ERM Framework:

In 2020, SCCE & HCCA partnered with the Committee of Sponsoring Organizations of the Treadway Commission (COSO) to create guidance on the application of COSO's Enterprise Risk Management (ERM) framework to the management of compliance risk. Published in November 2020, *Compliance Risk Management: Applying the COSO ERM Framework*, was created based on current practices and expectations for effective compliance and ethics programs to help align these practices with the COSO framework.

SCCE & HCCA Member-Exclusive Magazines:

Compliance & Ethics Professional (CEP) Magazine® and *Compliance Today (CT) Magazine* are monthly publications available only to members—both in print as well as on our digital platform, COSMOS.

- CEP offers SCCE members the latest insights and practical information for compliance, ethics, and auditing professionals.
- Compliance Today provides HCCA members with news, tips, and guidance related to healthcare compliance concerns and issues—from getting buy-in from leadership to the latest government regulations.

Books and Publications:

At SCCE & HCCA, we're always working to develop and expand our educational publication offerings. In 2020, we released, revised, and updated a variety of resources created to support and guide compliance and ethics practitioners.

COSMOS: Our robust online content platform, COSMOS, continued to expand in 2020, offering subscribers a growing selection of compliance and ethics resources and updated content. This includes books, newsletters, articles, conference materials, and much more. Subscribers can quickly and easily search content from any computer, tablet, or phone to find the information they seek.

Four Free Web Conferences: New in 2020, SCCE & HCCA members can receive four free member-exclusive web conferences each year. Attendees learn about current issues in regulatory compliance, enforcement, plan development, and other areas of interest relevant to compliance and ethics professionals.

New Offerings

Compliance Risk Assessments:

An Introduction: This book walks compliance and ethics professionals step-by-step through the risk assessment process, shows how to avoid common pitfalls, and offers tips for continuous improvement.

IntegrityWorks: Tools and Skills to Build Integrity:

Written by former SCCE & HCCA CEO Roy Snell, this book discusses integrity in a practical way according to four areas with tips and exercises to develop different integrity-related skills. Also included are interviews with ethical leaders and Roy's personal stories.

Updated for 2020

The Complete Compliance and Ethics Manual:

This trusted resource provides practical guidance that enables a practitioner to establish, maintain, and improve a compliance and ethics program. Manual content is updated yearly to better reflect emerging compliance challenges and regulatory changes.

Health Care Privacy Compliance Handbook:

Now in its third edition, this handbook helps compliance professionals navigate the legal and regulatory framework that governs protected health information.

The Compliance Certification Board

Since 1999, the Compliance Certification Board (CCB)® has worked to establish criteria to determine competence in the compliance and ethics practice across all industries, specialty areas, and sectors. Professionals who meet these standards can become CCB certified. These designations enhance certificate holders' credibility within their organizations and among their peers, encourage continued personal and professional growth in the practice of compliance and ethics, and provide a national standard of requisite knowledge required for certification.

In 2020, more than 12,000 people actively held one or more of our seven certifications:

- Certified in Healthcare Compliance (CHC)®
- Certified in Healthcare Compliance Fellow (CHC-F)®
- Certified in Healthcare Privacy Compliance (CHPC)®
- Certified in Healthcare Research Compliance (CHRC)®
- Certified Compliance & Ethics Professional (CCEP)®
- Certified Compliance & Ethics Professional Fellow (CCEP-F)®
- Certified Compliance & Ethics Professional—International (CCEP-I)®

Ongoing Support for Practitioners

SCCEnet and HCCAnet: Complimentary social networks that provide compliance and ethics professionals with a space to build community and network

The Compliance & Ethics Blog and Podcast: Additional resources featuring content, interviews, and more from today's compliance and ethics leaders

SCCE & HCCA's Job Boards: A place to facilitate direct connections between compliance professionals and the organizations that require their skills

Navigating Global and Social Landscapes

With a major healthcare situation in flux and social and political landscapes constantly shifting, the need for credible, up-to-date information and guidance on inclusivity and diversity in 2020 was higher than ever.

In addition to our virtual event offerings, we began to restructure the ways in which we serve the industry, with an emphasis on additional support and guidance on equitable practices that can set the stage for compliance and ethics professionals.

Free COVID-19 Resources

Supporting practitioners where they need it most

As added support, we assembled a wealth of COVID-19 resources practitioners can use to navigate the ever-changing demands of the COVID-19 pandemic. Accessible on both the SCCE and HCCA websites, as well as our content platform COSMOS, these resources include:

- Additional articles and publications on COVID-19 developments
- A COVID-19 pandemic survey taken by over 300 compliance and ethics professionals
- Access to *SCCenet* and *HCCAnet*, complimentary online forums for practitioners to connect and share their expertise
- An expanding list of podcasts and blog posts on compliance and ethics in the age of COVID-19
- A comprehensive list of state and local government sites to stay informed on changing regulations and expectations

Diversity and Inclusion

Creating and maintaining a fair and inclusive future

In June 2020, SCCE & HCCA established a Diversity & Inclusion Working Group made up of veteran compliance and ethics professionals. This group analyzes the role of the compliance and ethics profession in the ongoing battle for improved workplace environments in relation to race, religion, sexual orientation, gender identity, and all other aspects of diversity and inclusion.

Roy Snell Writing Contest

Supporting new and emerging leaders in healthcare compliance

In 2020, SCCE & HCCA partnered with the Health Law Institute at Mitchell Hamline School of Law to hold the first annual Roy Snell Health Care Regulatory & Compliance Writing Competition. This competition recognized students for innovative, strategic, and sound approaches to tackling complex contemporary healthcare regulatory and compliance issues. The name of this competition was created to honor Roy Snell, the distinguished and highly regarded former CEO of SCCE & HCCA, for his visionary leadership and extraordinary contributions to the field of healthcare compliance.

The Future of Compliance

SCCE & HCCA is dedicated to supporting the compliance and ethics profession through 2020 and beyond. Rising to the occasion, we quickly adapted our resource model to better serve practitioners, and as a result, laid the groundwork for success moving forward.

An Era of Growth

As the profession itself continues to grow and change, so does our SCCE & HCCA team. In 2020, we announced our move to a brand-new office. This larger, more efficient workspace is not only an investment in our team but our association's future. While creating our new office, we opted for a modern design—one that fosters a more collaborative space to better suit the needs of today's workforce. Designed with social distancing measures in mind, SCCE & HCCA remains committed to ensuring our office is a safe place for employees to return to work when remote work requirements have been eased.

New Opportunities

With an established virtual model, SCCE & HCCA is prepared to meet the needs of compliance and ethics professionals around the world, safely and effectively, with first-class education and resources. While creating new and improved events to serve the profession, we noticed a need for more focused content. Dipping into the virtual space has allowed us to create content and educational opportunities for different sectors within the compliance community, broadening our offerings and reaching many more practitioners.



Financial Statements

Consolidated Statement of Financial Position
December 31, 2020

Assets	
Current Assets	
Cash and Cash Equivalents	\$4,179,902
Accounts Receivable	251,927
Inventories	26,830
Prepaid and Deferred Expenses	1,152,342
Total Current Assets	5,611,001
Property, Equipment and Trademarks	8,249,449
Investments	14,225,274
Goodwill	1,732,786
Other	302,007
Total Assets	\$30,120,517
Liabilities and Net Assets	
Current Liabilities	
Accounts Payable and Accrued Expenses	\$2,008,496
Deferred Revenue	5,837,489
Total Current Liabilities	7,845,985
Other Liabilities	302,007
Total Liabilities	8,147,992
Net Assets	
Net Assets - Undesignated	\$21,974,476
Noncontrolling Interest in Subsidiary	(1,951)
Total Net Assets	21,972,525
Total Liabilities and Net Assets	\$30,120,517

Financial Statements

Consolidated Statement of Activities
Year Ended December 31, 2020

Revenues	
Program Revenues	\$15,128,869
Insurance Recoveries	2,059,610
Gain on Sale of Building	536,018
Investment Income	505,447
Other Income	74,806
Total Revenues	18,304,750
Expenses	
Program Expenses	12,027,792
General and Administrative	4,752,315
Total Expenses	16,780,107
Operating Change in Net Assets	1,524,643
Nonoperating - Capital Transactions	(284,000)
Total Change in Net Assets	1,240,643
Total Net Assets - Beginning of Year	20,731,882
Total Net Assets - End of Year	\$21,972,525



Society of Corporate Compliance and Ethics
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