

Cross-Industry Compliance Staffing and Budget Benchmarking and Guidance Survey

2023





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BACKGROUND

In 2022, the Society of Corporate Compliance and Ethics® (SCCE®) commissioned a new wave of salary research among compliance professionals. Among other measures, the research looked at how salaries compare across a range of individual and firm characteristics, including company revenue, employee size, compliance budget, and ownership structure.

One benefit of the salary survey is the ability to establish up-to-date staffing and compliance budget benchmarks. To that end, the tables in this report show how compliance team size and budget differ by firm characteristics, allowing members to compare their own staff and budget levels to those of similar firms.

USING THIS REPORT

The tables in this report show how compliance staffing and budget compare across a number of factors. As you review the tables, keep in mind that the data are based on self-reported survey results, and that for some categories, small sample sizes of respondents make the results more directional than definitive. What's more, please keep in mind that many factors combine to influence staffing and budget levels, so if what you see in the data differs from your own situation, it is most likely the result of other characteristics that may be unique to your firm.

A note on reading the tables: the categories by which the data are broken down are in the left-hand column and the staffing and budget percentages for each category read across, horizontally.

SURVEY DATA

Most organizations, other than those with the highest revenues, have compliance and ethics teams of 1-5 employees. It's not until one reaches \$1 billion in revenue that we see majorities of organizations with teams of 6 or more members.

BY REVENUE OF ORGANIZATION AS A WHOLE

CROSS-INDUSTRY	EMPLOYEES IN COMPLIANCE AND ETHICS GROUP						
	1	2 to 5	6 to 10	11 to 15	16 to 20	21 to 50	More than 50
Less than \$5 million	19%	51%	9%	7%	2%	7%	5%
\$5 million to less than \$15 million	24%	41%	18%	11%	2%	1%	1%
\$15 million to less than \$30 million	15%	57%	17%	2%	2%	7%	0%
\$30 million to less than \$50 million	13%	53%	26%	4%	4%	0%	0%
\$50 million to less than \$100 million	23%	52%	8%	4%	5%	7%	1%
\$100 million to less than \$500 million	4%	61%	17%	4%	3%	7%	4%
\$500 million to less than \$1 billion	9%	45%	21%	6%	6%	12%	2%
\$1 billion to less than \$3 billion	5%	41%	23%	8%	4%	14%	5%
\$3 billion or more	4%	29%	17%	14%	10%	12%	13%

The pattern is the same when we look at revenues for just those portions of firms that are served by the compliance and ethics group. Once again, 1-5 employee compliance and ethics teams are the norm in firms where the team serves a portion of the organization with revenues of less than \$500 million. For teams serving parts of the organization with \$1 billion or more in revenue, majorities of teams have 6 or more members.

BY REVENUE OF PORTION OF ORGANIZATION COMPLIANCE GROUP SERVES

CROSS-INDUSTRY	EMPLOYEES IN COMPLIANCE AND ETHICS GROUP						
	1	2 to 5	6 to 10	11 to 15	16 to 20	21 to 50	More than 50
Less than \$5 million	12%	47%	19%	8%	3%	6%	5%
\$5 million to less than \$15 million	21%	47%	10%	8%	2%	7%	5%
\$15 million to less than \$30 million	15%	47%	19%	6%	4%	6%	2%
\$30 million to less than \$50 million	13%	54%	30%	0%	2%	0%	0%
\$50 million to less than \$100 million	22%	48%	11%	6%	6%	6%	0%
\$100 million to less than \$500 million	5%	59%	22%	3%	3%	4%	3%
\$500 million to less than \$1 billion	10%	43%	17%	7%	6%	12%	5%
\$1 billion to less than \$3 billion	4%	40%	23%	8%	5%	18%	3%
\$3 billion or more	4%	28%	15%	15%	11%	13%	15%

When it comes to overall employee size, we see several different breakpoints when it comes to size of the compliance and ethics group. 1-5 employee teams are the norm for organizations with fewer than 2,000 employees, 2-10 employee teams are common in firms with 2,000-29,999 employees, and teams of 11 or more are more common once one reaches 30,000 employees plus.

BY EMPLOYEES IN ORGANIZATION AS A WHOLE

CROSS-INDUSTRY	EMPLOYEES IN COMPLIANCE AND ETHICS GROUP						
	1	2 to 5	6 to 10	11 to 15	16 to 20	21 to 50	More than 50
Less than 100	30%	57%	4%	4%	0%	2%	4%
100–249	19%	63%	16%	1%	0%	0%	0%
250–499	26%	55%	11%	6%	0%	0%	2%
500–999	8%	63%	17%	8%	0%	4%	0%
1,000–1,999	7%	56%	18%	3%	5%	9%	1%
2,000–2,999	16%	31%	29%	5%	4%	13%	2%
3,000–4,999	8%	34%	25%	5%	11%	9%	8%
5,000–7,499	8%	40%	19%	12%	6%	13%	1%
7,500–9,999	0%	33%	30%	13%	13%	10%	3%
10,000–14,999	4%	49%	16%	6%	8%	10%	7%
15,000–19,999	9%	45%	16%	7%	9%	9%	5%
20,000–29,999	0%	38%	15%	13%	10%	12%	12%
30,000–49,999	0%	17%	13%	17%	17%	21%	17%
50,000–74,999	0%	28%	16%	25%	3%	16%	13%
75,000–99,999	6%	17%	33%	11%	17%	11%	6%
100,000 or more	7%	14%	18%	13%	5%	20%	23%

We see a similar relationship when we look at the size of compliance and ethics team by the number of employees in those parts of the organization the team serves. Teams that serve fewer than 2,000 employees are most likely to be comprised of 1-5 employees. Those serving 3,000-29,999 employees are typically made up of 2-10 members, while teams serving 30,000 or more employees are more likely to have 11+ members.

BY EMPLOYEES IN PORTION OF ORGANIZATION COMPLIANCE GROUP SERVES

CROSS-INDUSTRY	EMPLOYEES IN COMPLIANCE AND ETHICS GROUP						
	1	2 to 5	6 to 10	11 to 15	16 to 20	21 to 50	More than 50
Less than 100	11%	42%	17%	9%	5%	9%	7%
100–249	19%	52%	16%	1%	0%	5%	7%
250–499	23%	48%	15%	5%	3%	3%	4%
500–999	8%	57%	18%	6%	1%	6%	3%
1,000–1,999	6%	53%	21%	5%	4%	10%	1%
2,000–2,999	11%	36%	25%	5%	4%	15%	4%
3,000–4,999	9%	39%	25%	6%	11%	6%	3%
5,000–7,499	8%	39%	13%	15%	7%	11%	7%
7,500–9,999	3%	34%	22%	6%	19%	16%	0%
10,000–14,999	5%	44%	17%	6%	11%	11%	8%
15,000–19,999	0%	47%	17%	17%	10%	7%	3%
20,000–29,999	0%	39%	17%	14%	14%	11%	6%
30,000–49,999	3%	16%	19%	16%	10%	23%	13%
50,000–74,999	0%	25%	6%	38%	6%	13%	13%
75,000–99,999	0%	25%	25%	0%	0%	25%	25%
100,000 or more	6%	11%	14%	19%	6%	22%	22%

This year, the size of compliance and ethics teams doesn't tend to vary dramatically by type of organization, although publicly traded companies are the least likely to have small teams (5 or fewer), not including the generic "other" category.

BY ORGANIZATION TYPE

EMPLOYEES IN COMPLIANCE AND ETHICS GROUP							
CROSS-INDUSTRY	1	2 to 5	6 to 10	11 to 15	16 to 20	21 to 50	More than 50
Nonprofit	12%	45%	22%	7%	3%	8%	3%
Privately held	11%	49%	17%	3%	5%	10%	5%
Publicly traded	7%	39%	17%	11%	8%	10%	9%
Governmental	13%	39%	20%	8%	4%	10%	6%
Academic	10%	42%	14%	14%	6%	10%	3%
Other	8%	33%	17%	33%	8%	0%	0%

On the other hand, we see a strong relationship between compliance budgets and overall organizational revenue. Most firms with less than \$15 million in overall revenue have compliance budgets under \$100,000, while most firms with revenues of \$500 million or higher have budgets of \$500,000 or more.

BY REVENUE OF ORGANIZATION AS A WHOLE

ANNUAL COMPLIANCE BUDGET					
CROSS-INDUSTRY	Less than \$100,000	\$100,000 to \$249,999	\$250,000 to \$499,999	\$500,000 to \$999,999	\$1 million or more
Less than \$5 million	58%	17%	17%	0%	8%
\$5 million to less than \$15 million	50%	8%	5%	18%	20%
\$15 million to less than \$30 million	35%	13%	4%	17%	30%
\$30 million to less than \$50 million	29%	8%	25%	33%	4%
\$50 million to less than \$100 million	17%	17%	28%	24%	13%
\$100 million to less than \$500 million	26%	18%	23%	14%	19%
\$500 million to less than \$1 billion	16%	16%	18%	16%	34%
\$1 billion to less than \$3 billion	19%	13%	9%	19%	39%
\$3 billion or more	12%	8%	7%	15%	58%

The compliance budget breakpoints we saw for revenue overall are the same when we look specifically at revenue for those portions of the organization served by the compliance and ethics group.

BY REVENUE OF PORTION OF ORGANIZATION COMPLIANCE GROUP SERVES

CROSS-INDUSTRY	ANNUAL COMPLIANCE BUDGET				
	Less than \$100,000	\$100,000 to \$249,999	\$250,000 to \$499,999	\$500,000 to \$999,999	\$1 million or more
Less than \$5 million	36%	15%	17%	11%	21%
\$5 million to less than \$15 million	44%	4%	10%	17%	25%
\$15 million to less than \$30 million	40%	20%	10%	10%	20%
\$30 million to less than \$50 million	29%	8%	25%	38%	0%
\$50 million to less than \$100 million	21%	15%	27%	21%	15%
\$100 million to less than \$500 million	23%	18%	18%	21%	21%
\$500 million to less than \$1 billion	20%	15%	13%	15%	38%
\$1 billion to less than \$3 billion	15%	18%	11%	18%	39%
\$3 billion or more	12%	6%	4%	12%	65%

Although the relationship isn't strictly linear, the more employees an organization has, the higher the compliance budget tends to be. The first jump we see in compliance budget is when one reaches 500 employees, and there's another jump at 5,000 employees. Majorities of firms with 75,000 plus employees have compliance budgets of \$1 million or more, although note that small sample sizes at the very highest employee levels make the percentage results more directional than definitive.

BY EMPLOYEES IN ORGANIZATION AS A WHOLE

CROSS-INDUSTRY	ANNUAL COMPLIANCE BUDGET				
	Less than \$100,000	\$100,000 to \$249,999	\$250,000 to \$499,999	\$500,000 to \$999,999	\$1 million or more
Less than 100	36%	11%	11%	17%	25%
100–249	43%	12%	19%	19%	7%
250–499	46%	11%	19%	16%	8%
500–999	24%	16%	16%	22%	22%
1,000–1,999	20%	15%	12%	20%	34%
2,000–2,999	31%	15%	15%	19%	19%
3,000–4,999	15%	18%	12%	9%	47%
5,000–7,499	9%	9%	16%	28%	38%
7,500–9,999	10%	0%	10%	30%	50%
10,000–14,999	9%	21%	18%	12%	41%
15,000–19,999	4%	22%	17%	4%	52%
20,000–29,999	18%	6%	6%	35%	35%
30,000–49,999	29%	0%	18%	0%	53%
50,000–74,999	14%	0%	0%	43%	43%
75,000–99,999	20%	0%	0%	0%	80%
100,000 or more	24%	7%	3%	7%	59%

The same general rule holds when we look at the number of employees in those portions of the organization served by the compliance group. Again, however, note that small sample sizes at the highest employee levels make the percentage results less stable.

BY EMPLOYEES IN PORTION OF ORGANIZATION COMPLIANCE GROUP SERVES

CROSS-INDUSTRY	ANNUAL COMPLIANCE BUDGET				
	Less than \$100,000	\$100,000 to \$249,999	\$250,000 to \$499,999	\$500,000 to \$999,999	\$1 million or more
Less than 100	32%	11%	10%	17%	31%
100–249	43%	11%	21%	21%	4%
250–499	38%	14%	24%	12%	12%
500–999	25%	13%	13%	25%	23%
1,000–1,999	15%	15%	13%	15%	41%
2,000–2,999	21%	17%	17%	25%	21%
3,000–4,999	20%	17%	3%	20%	40%
5,000–7,499	20%	10%	15%	15%	40%
7,500–9,999	8%	8%	17%	8%	58%
10,000–14,999	3%	23%	17%	10%	47%
15,000–19,999	8%	0%	17%	0%	75%
20,000–29,999	0%	8%	8%	50%	33%
30,000–49,999	25%	0%	19%	0%	56%
50,000–74,999	0%	0%	0%	0%	100%
75,000–99,999	0%	0%	0%	100%	0%
100,000 or more	22%	11%	0%	6%	61%

As was not the case when looking at size of the compliance team, we see a clearer relationship between type of firm and compliance budget—with publicly traded firms having the largest budgets (nearly half have a budget of \$1 million or more) and government organizations having the lowest (nearly 4 in 10 have budgets under \$100,000).

BY ORGANIZATION TYPE

CROSS-INDUSTRY	ANNUAL COMPLIANCE BUDGET				
	Less than \$100,000	\$100,000 to \$249,999	\$250,000 to \$499,999	\$500,000 to \$999,999	\$1 million or more
Nonprofit	28%	13%	18%	15%	26%
Privately held	25%	11%	15%	20%	28%
Publicly traded	16%	11%	10%	17%	46%
Governmental	37%	22%	8%	14%	20%
Academic	21%	12%	21%	15%	30%
Other	20%	0%	40%	20%	20%

SURVEY METHODOLOGY

In June 2022, an email invitation to participate in a salary survey was sent to approximately 50,000 individuals.

The data in this report was drawn from 986 responses from individuals who:

- Work for a non-health care provider
- If a Chief Compliance Officer, is responsible for at least 26% of an organization's legal and regulatory risk

This report is based solely on this group. Strict confidence of survey responses was maintained throughout the course of the project.

Final results were tabulated by Fondulas Strategic Research, and the salary report was completed in August 2022. The data was then retabulated to create this benchmarking report.

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