

The Plan:

- Continued Plan review and update. This is ongoing due to frequent changes in regulations.
- Mailed 233 compliance information letters to vendors.

Employee Training:

- The following WeComply online trainings were sent to all County employees and Board of Supervisors during the 3rd and 4th Quarters of 2018:
 1. Hazard Communication/ Right-to-Know (98.3% participation)
 2. FACTA Red Flags for Government (97.8% participation)
 3. Preventing Workplace Violence (98.4% participation)
 4. Appropriate Internet Use (97.9% participation)
 5. Preventing Discrimination & Harassment (97.5% participation)
 6. Whistleblowing & Compliance (97.2% participation)
- On 9/28/18, HIPAA Training was delivered through WeComply to employees in the following departments: Mental Health, Social Services, Public Health, Office for the Aging, Sheriff's Office (Corrections), Human Resources, County Attorney, Finance, Information Services and Records and Archives. (98% participation)
- Human Resources delivered the above noted training, in printed form, to employees without computer access.
- Delivered annual in-service training to all Public Health employees on September 17, 2018.
- Michele Smith, Lindsey Burgess, and Sean Barry attended Compliance Bootcamp on April 30, 2018.
- Lindsey Burgess attended the Annual Compliance Program Development Series with Bonadio on November 16, 2018.
- Annual Contract Training was delivered on September 10 and September 17, 2018. Between the two dates, 75 employees attended.

The Committee:

- Monitored audit activities and internal reviews.
- Completed the 2018 Regulatory Compliance Assessment Tool, Part 1 - 4 on May 14, 2018 and Parts 5 – 8 on July 30, 2018.
- The Regulatory Compliance Committee held meetings on January 23, March 26, May 14, July 30, September 17 and November 19, 2018.
- The Committee's 2017 Annual Report was submitted to the GO & Insurance Committee on February 7, 2018 and presented to the Board of Supervisors on May 31, 2018.
- Ontario County is the recipient of the 2018 ETHIE Award from the Rochester Area Business Ethics Foundation.

Completed Certifications:

- The NYS Office of the Medicaid Inspector General (OMIG) Social Services Law Certification of Compliance was filed on December 19, 2018 for Fiscal Year 2018.
- The NYS Office of the Medicaid Inspector General (OMIG) Federal Deficit Reduction Act of 2005 (DRA) Certification of Compliance was filed on December 19, 2018 for Fiscal Year 2018.

Reports of Non-Compliance:

- 3 potential HIPAA violations – all investigated. 2 were unfounded. 1 potential HIPAA violation was determined to be the responsibility of New York State Department of Health.

Regulatory Compliance Committee Annual Report for the Year 2018

- 1 potential violation of the County Data Breach Notification and Identity Theft Policy. Violation was resolved in compliance with our policy, even though it was determined that no Red Flags were raised.
- The compliance hotline received two erroneous phone calls. The calls were referred on to the correct departments.

Internal Monitoring:

The following Internal audits were performed during 2018:

- Petty Cash
- Voyager Card
- Civil Unit Bank Reconciliation Process
- Vehicle Mileage Log Review
- Probation Receipts Review
- Purchasing Card Review
- Stop DWI VIP Receipts Review
- Fixed Assets

External Reviews and Audits:

Department	Agency	Program	Date
Sheriff Dept	NYS Law Enforcement Accreditation	Reaccreditation	April 2018
Mental Health	Community Service Insurance Fund		April 2018
Deferred Compensation Committee	Raymond F. Wagner, CPA	Deferred compensation plan for employees	May 2018
Office for the Aging	NYS OFA	Fiscal Operations	August 2018
Human Resources/Safety	NYS DOL	OSHA grants	August 2018
Mental Health	NYS OMIG	Medicaid Managed Care	September 2018
Probation	NYS Insurance Fund	Workers Compensation	October 2018
WorkForce Investment Board	NYS DOL	Employment Records	Nov. 2018
Final Determination in 2017. Reconciliation finalized in 2018			
Ontario County	NYS OSC	Finance/Payroll	June-Dec. 2018
DSS was involved in 12 annual audits, 4 quarterly audits, and 2 monthly audits from various state and federal oversight agencies in 2018.			

Information Security:

- Phishing tests and IT Security Awareness Training are ongoing.

2019 Work Plan:

- Review, revise and implement the Regulatory Compliance Plan and related policies.
- Develop and implement 2019 Compliance Training Plans.
- Periodic review of County Department's financial records.
- Continue to update bulletin boards annually.
- Periodically update the Governmental Operations & Insurance Committee.