

## The Plan:

- Continued Plan review and update. This is ongoing due to frequent changes in regulations.
- Mailed 278 compliance information letters to vendors.

## Employee Training:

- On 10/17/17, delivered the following WeComply on-line training to all County employees and Board of Supervisors:
  1. Hazard Communication/ Right-to-Know (88% participation)
  2. FACTA Red Flags for Government (90% participation)
  3. Preventing Workplace Violence (89% participation)
  4. Appropriate Internet Use (90% participation)
  5. Preventing Discrimination & Harassment (89% participation)
  6. Whistleblowing & Compliance (89% participation)
- On 10/17/17, 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. (94% 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 25, 2017.
- Lindsey Burgess and Mary Burnett attended the Annual Compliance Program Development Series with Bonadio on November 30, 2017.
- Mary Burnett attended Compliance Bootcamp on March 21, 2017.
- Annual Contract Training was delivered on October 4, 2017. Sixty employees attended.

## The Committee:

- Monitored audit activities and internal reviews.
- Completed the 2017 Regulatory Compliance Assessment Tool, Part 1 - 4 on June 19, 2017 and Parts 5 – 8 on July 17, 2017.
- The Regulatory Compliance Committee held meetings on January 23, March 20, June 19, July 17, September 11 and November 20, 2017.
- The Committee's 2016 Annual Report was submitted to the GO & Insurance Committee on February 8, 2017 and presented to the Board of Supervisors on February 16, 2017.
- On December 21, 2017, the Board of Supervisors adopted Resolution # 761-2017 designating the Director of Human Resources as the Compliance Officer and in her absence, the Deputy Director of Human Resources as the acting Compliance Officer. This amendment to the Compliance Plan will take effect January 1, 2018.
- Resolution # 762-2017 was adopted by the Board of Supervisors on December 21, 2017 to appoint members to the Compliance Committee effective January 1, 2018. This was necessary due to a member retiring and new members joining the committee.
- With the help of the Compliance Committee, Ontario County applied for an ETHIE Award from the Rochester Area Business Ethics Foundation. We finished as a finalist.

# Regulatory Compliance Committee Annual Report for the Year 2017

---

## Completed Certifications:

- The NYS Office of the Medicaid Inspector General (OMIG) Social Services Law Certification of Compliance was filed on December 20, 2017 for Fiscal Year 2017.
- The NYS Office of the Medicaid Inspector General (OMIG) Federal Deficit Reduction Act of 2005 (DRA) Certification of Compliance was filed on December 20, 2017 for Fiscal Year 2017.

## Reports of Non-Compliance:

- 1 potential HIPAA violation was unfounded.
- 1 founded HIPAA violation. Violation was resolved in compliance with our policy.
- 1 complaint of non-compliance was received on the compliance hotline. The issue was investigated by Brian Young and was resolved.
- 1 complaint of non-compliance was received by Compliance Officer Brian Young via email. The complaint was investigated and resolved.

## Internal Monitoring:

Internal audits for the following departments were performed during 2017:

- IRS Form 1099 preparation
- Early Intervention
- Petty Cash
- Fixed Assets
- Vehicle Mileage Log Review
- Probation Receipts
- Stop DWI Receipts
- Monthly Purchasing Card Review

## External Reviews and Audits:

Department	Agency	Program	Date
DSS	WIB	WIOA	February 2017
Mental Health	OMH		April 2017
Public Health	NYS DOH	Immunization/Desk Review	April 2017
DSS	NYS OTDA	Claims Review	April 2017
DA/Victim Assistance	NYS OVS	Site Review	July 2017
DA/Victim Assistance	NYS OVS	Fiscal Desk Review of FCR	June 2017
Public Health/CWSNP	NYS OMIG	Pre-School	September 2017
Began in 2016. Report finalized in 2017			
911 Center (Sheriff Dept)	NYS OSC	911 Surcharge Revenues	November 2017
Planning	Diagler Engineering	Casella Host Free Audit	May 2017

DSS was involved in 23 program and fiscal audits from various state and federal oversight agencies in 2017.

## Information Security:

- Phishing tests and IT Security Awareness Training are ongoing.
- Papercut software was installed on all County copiers in July 2017.

**2018 Work Plan:**

- Review, revise and implement the Regulatory Compliance Plan and related policies.
- Develop and implement 2018 Compliance Training Plans.
- Periodic review of County Department's financial records.
- Continue to update bulletin boards annually.
- Periodically update the Governmental Operations & Insurance Committee.