

The Plan:

- Continued Plan review and update. This is ongoing due to frequent changes in regulations.

Employee Training:

- The following WeComply online trainings were sent to all County employees and Board of Supervisors during the 4th Quarter of 2019:
 1. Hazard Communication/ Right-to-Know (97% participation)
 2. FACTA Red Flags for Government (97% participation)
 3. Preventing Workplace Violence (97% participation)
 4. Appropriate Internet Use (97% participation)
 5. Preventing Discrimination & Harassment (97% participation)
 6. Whistleblowing & Compliance (97% participation)
- 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. (99.5% participation)
- Human Resources delivered the above noted training, in printed form, to employees without computer access.
- Michele Smith, Lorrie Scarrott, and Sean Barry attended Compliance Bootcamp on April 24, 2019.
- Michele Smith, Brian Young, and Robert Kramer attended the Annual Compliance Program Development Series with Bonadio Compliance Solutions Group on November 19, 2019.

The Committee:

- Completed the 2019 Regulatory Compliance Assessment Tool, Part 1 - 4 on May 13, 2019 and Parts 5 – 8 on July 15, 2019.
- The Regulatory Compliance Committee held meetings on January 28, March 25, May 13, July 15, and December 16, 2019. The Regulatory Compliance Committee will meet quarterly moving forward.
- The Committee's 2018 Annual Report was submitted to the GO & Insurance Committee on February 6, 2019 and presented to the Board of Supervisors on February 14, 2019.
- The Ontario County Exclusion Screening Policy was adopted by the Board of Supervisors on February 14, 2019 by Resolution #062-2019.

Completed Certifications:

- The NYS Office of the Medicaid Inspector General (OMIG) Social Services Law Certification of Compliance was filed on December 20, 2019 for Fiscal Year 2019.
- The NYS Office of the Medicaid Inspector General (OMIG) Federal Deficit Reduction Act of 2005 (DRA) Certification of Compliance was filed on December 20, 2019 for Fiscal Year 2019.

Reports of Non-Compliance:

- 1 potential HIPAA violation was reported, investigated and unfounded.
- 3 compliance complaints were made and investigated. 2 were unfounded and 1 is still under investigation. The compliance hotline also received two erroneous phone calls with no message.

Regulatory Compliance Committee Annual Report for the Year 2019

Internal Monitoring: Due to year-long implementation of new financial software program internal audits were suspended.

External Reviews and Audits:

Department	Agency	Program	Date
Public Works	PESH	Worksite audit	January 2019
Human Resources/Safety	NYS DOL	Training and Education grants	February 2019
Mental Health	NYS OMIG	Medicaid Managed Care	March 2019
Mental Health	NYS OMH	Clinic	May 2019
Dept. of Motor Vehicles	State DMV		July 2019
Public Health Nursing	Consolidated Services		July 2019
STOP-DWI	Governor's Traffic Safety Committee	Grant audit	September 2019
Probation	NYS Insurance Fund		September 2019
County	NYMIR	Building Safety/security	October 2019
Office for the Aging	NYS OFA		November 2019
Finance	NYS Comptroller	Tax cap for 2019 and 2020	November 2019

DSS was involved multiple audits from various state and federal oversight agencies in 2019. They participated in 17 annual audits (3 state-wide and not County specific), 1 semi-annual audit, 4 quarterly audits, and 2 monthly audits.

Information Security:

- Phishing tests and IT Security Awareness Training were ongoing.

2020 Work Plan:

- Review, revise and implement the Regulatory Compliance Plan and related policies.
- Develop and implement 2020 Compliance Training Plans and obtain new on-line training provider.
- Periodic review of County Department's financial records.
- Continue to update bulletin boards annually.
- Periodically update the Governmental Operations & Insurance Committee.