

The Plan

- Continued Plan review and update. This is ongoing due to frequent changes in regulations.
- Mailed 398 compliance information letters to vendors.

Employee Training

- On 11/21/16, delivered the following WeComply on-line training to all County employees and Board of Supervisors:
 1. Hazard Communication/ Right-to-Know
 2. FACTA Red Flags for Government
 3. Preventing Workplace Violence
 4. Appropriate Internet Use
- On 12/5/16, delivered the following WeComply on-line training to all County employees and Board of Supervisors:
 1. Preventing Discrimination & Harassment
 2. Conflicts of Interest
 3. Whistleblowing & Compliance
 4. Introduction to HIPAA Training to employees of Mental Health, Social Services, Public Health, OFA, Sheriff's Office including Dispatch & Corrections, Human Resources, County Attorney, Finance, Information Services and Records & Archives.
- Delivered the above noted training, in printed form, to employees without computer access.
- Compliance Training was delivered to all Mental Health employees on December 5, 2016 by Dr. Jessica Mitchell.
- Delivered annual in-service training to all Public Health employees on December 12, 2016.
- Brian Young and Lorrie Scarrott attended SSHSP (School Supportive Health Services Program) training on November 1, 2016.
- Brian Young, Denise Morley, Lorrie Scarrott and Mary Burnett attended the Annual Compliance Program Development Series with Bonadio on November 18, 2016.
- Denise Morley attended Compliance Bootcamp on March 11, 2016.
- Ethics Training for Supervisors & Managers was delivered on October 18, 2016. Nineteen employees attended.

The Committee

- Monitored audit activities and internal reviews.
- Completed the 2016 Regulatory Compliance Assessment Tool, Part 1 - 4 on May 16, 2016 and Parts 5 – 8 on July 18, 2016.
- The Regulatory Compliance Committee held meetings on January 25, March 14, May 16, July 18, September 19 and November 21, 2016.
- The Committee's 2015 Annual Report was submitted to the GO Committee on February 9 and presented to the Board of Supervisors on February 18, 2016.
- Effective February 18, 2016, two new members were added to the Compliance Committee. Denise Morley from Human Resources and Lorrie Scarrott from Finance. (Resolution No. 111-2016). Denise Morley replaced Mary Krause on the Compliance Committee.
- Effective June 2, 2016, Brian Young was added to the Compliance Committee as Compliance Officer, replacing Mary Gates. (Resolution No. 396-2016)
- The Compliance Brochure was updated to include the changes noted above.
- Adopted the Ontario County Sub-Recipient Monitoring Policy. (Resolution No. 782-2016)

Regulatory Compliance Committee Annual Report for the Year 2016

- Amended the Code of Ethics. (Resolution No. 784-2016)

Completed Certifications

- The NYS Office of the Medicaid Inspector General (OMIG) Social Services Law Certification of Compliance was filed on December 20, 2016 for Fiscal Year 2016.
- The NYS Office of the Medicaid Inspector General (OMIG) Federal Deficit Reduction Act of 2005 (DRA) Certification of Compliance was filed on December 20, 2016 for Fiscal Year 2016.

Reports of Non-Compliance

- 1 call was received on the compliance hotline in 2016. The issue was investigated by Brian Young and has been resolved.

Internal Monitoring

Internal audits for the following departments were performed during 2016:

- CWSN Pre-school program
- IRS Form 1099 preparation
- Civil Unit
- Petty Cash
- Exclusion Screening
- Fixed Assets
- Health Insurance Billing

External Reviews and Audits

- Office of State Comptroller – 911 Surcharge
- LHCSA (Licensed Home Care Services Agency) – Public Health
- NYS Department of Public Health – Consolidated Review
- NYS Office of Mental Health – Recertify Mental Health Clinic
- NYS Homeland Security – Grants Administration Policy
- Optum Insurance Audit – Re-Credentialing Mental Health
- OMIG Preschool Audit – Public Health
- DOH & OTDA – Public Assistance Reporting Informational System (DSS)
- OTDA – 3214 SNAP Overpayment Claims (DSS)
- Workforce Investment Board – WIB/WIOA Claims Review (DSS)
- DSS was involved in 17 program and fiscal audits from various state and federal oversight agencies in 2016.

Information Security

- Security Awareness Training was held October 6 & 7, 2016. An online version of this training was emailed on January 5, 2017 to those employees who did not attend in October 2016.

2017 Work Plan

- Review, revise and implement the Regulatory Compliance Plan and related policies.
- Develop and implement 2017 Compliance Training Plans.
- Periodic review of County Department's financial records.
- Continue to update bulletin boards annually.
- Periodically update the Governmental Operations & Insurance Committee.