

2021 County Compliance Program Progress Report

Year At-a-Glance

During the 2021, the Committee continued its work in the area compliance by supporting County Administration and fellow departments in the review of existing policies that set standards to meet the County's vision of excellence. The largest undertaking, which will continue through 2022, is the transition to virtual mandatory trainings and ensuring a high completion rate. Additionally, the County procured a new payroll system which integrated into the already established time-keeping system. Finally, efforts continued in the area of cyber security as attackers become more brazen. The following *Key Accomplishments* section of this report provides details on all of these activities.

Key Accomplishments

Compliance Education. The Committee continued to serve as a resource for compliance matters, particularly those related to policy review and mandatory training. The County's Compliance Program Coordinator and Information Security Compliance Officer worked with all departments to help meet the County's annual mandatory compliance training goal.

Administrative Policy Manual. The review of the Tompkins County Administrative Policy Manual was continued into 2021. The Compliance Program Coordinator worked with departments across the County to update content in existing policies across the County and with the assistance of the Finance Department, new mechanisms for managing procurement processes were created.

During the 2021 calendar year the following progress was made:

- 8 existing policies were revised
- 1 policy was abolished
- establishment of an Environmentally Preferable Product (EPP) Management Team

Finance. During 2021, Finance focused on two areas to better assist the County in maintaining a clean compliance record. The first focused on hiring purchasing staff with the hopes it shall lead to better procurement practices and compliance surrounding contracts management. The second focus was implementing a new payroll software which was merged to UKG, the same as the County's time-keeping system. UKG will also be providing payroll services around tax deposits and reporting. The biggest accomplishment in 2021 is undeniably the "clean audit" that was issued on the County's financial reports.

Information Technology Services. ITS completed a new system rollout for creating and managing helpdesk requests. With the addition of this new software, it manages hardware/software asset management, has an expandable knowledge base, and helps keep security packages up to date for desktops and servers. The County expanded the data security analytics and monitoring which includes 24/7 operational analysis of certain data flow aspects and external penetration testing for County network and system vulnerabilities.

Interpretation/Language Requests. As part of ongoing performance monitoring of the County's Title VI Program, the Compliance Program tracks interpretation and translation services to better plan for language assistance efforts in the future. The total number of interpretation and translation services utilized increased from 2020 to 2021 to 541 services provided. This can be related to the continuous need for additional virtual and telephone services from the effects of the COVID-19 pandemic. The total number of interpretation and translation services utilized were provided at a cost of \$8,840.98. The pandemic allowed for a deeper dive into language services

provided by the County. This has resulted in the opportunity to strengthen the program and exceed minimum standards of services and materials offered to the community.

Annual Mandatory Compliance and Safety Training. Per requirements of New York State, every employer is required to provide employees with sexual harassment prevention training at time of hire and annually thereafter. In 2021, the third-party vendor, KnowB4, was used once again to deliver harassment prevention training to all County employees. The County’s annual mandatory compliance, safety, cyber security, and sexual harassment trainings were conducted virtually through online training and pre-recorded training videos. 93.5% of the County’s workforce completed all required trainings in 2021.

Exclusion Screening. The County’s Compliance Program calls for the for routine identification of risk areas to help detect potential fraud or regulatory non-compliance. One component of this is the monthly screening of all employees, contractors, and vendors to ensure that they have not been involved in adverse actions related to fraud or abuse of government funds, or, if applicable, have not been excluded from federally-funded healthcare programs. In 2021, Tompkins County continued to partner with the third-party vendor, Verify Comply, for screening and monitoring services. The Compliance Program Coordinator periodically worked with the Finance Department to upload data and provided training refreshers on the software as needed during 2021.

Challenges and Opportunities for 2022

Strengthening Information Security. 2022 will continue to create challenges for the ITS department as cyber attackers are becoming for sophisticated. These challenges will lead to opening the door for improved security such as the use of Multi-Factor Authentication (MFA) and increased employee training opportunities. Cyber security projects on the horizon for ITS in the upcoming year include upgrading data classification, threat protection & configuration monitoring tool, finalization of the Incident Response Plan, implementing firewall migration, and completing the MFA project and policy.

Compliance Education. The ongoing effort to put in place an effective plan for new hire and annual mandatory compliance training County-wide was deemed a success for 2021. Due to the many challenges surrounding employee training that we faced in 2020, we have gotten a firsthand look into the positive impacts transitioning away from the traditional in-person annual training program to an electronic format that we have chosen to use moving forward.

Administrative Policy Manual Updates. The Administrative Policy Manual will continue to be reviewed throughout 2022 to update outdated policies to reflect current practices. The Compliance Program Coordinator, with the assistance of the Chief Diversity & Equity Officer, will work with appropriate departments throughout the year to continue the administrative review and amendment process. The Finance department will be dedicating time to updating Finance related policies to meet County expectations and reflect current practices. ITS committed to assist in drafting policies for data classification, electronic signatures, and acceptable use of County technology.

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