

## 2022 County Compliance Program Progress Report

### Year At-a-Glance

During the 2022, 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 2023, 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 Risk & Compliance Administrator 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 2022. 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 2022 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 2022, Finance continued to focus on several areas to better assist the County in maintaining a clean compliance record. These included working with an experienced consultant on procurement and certified payroll issues. The department also worked to fill vacancies in key positions that process accounts payable. Monthly meetings with procurement, legal, and contracts management began, as well as working with County Administration on processing of election workers. Finance took part in assisting County Administration with updating a couple key policies around employee travel, recognition, and others. Improvements came to the recording of payroll through the UKG system that was implemented in 2021. A large accomplishment in 2022 was another "clean audit" that was issued on the County's financial reports along with maintaining our Aa1 bond rating.

**Information Technology Services.** ITS partnered with the Cyber Incident Response Team (CIRT) from the Division of Homeland Security and Emergency Services (DHSES) to perform an onsite tabletop exercise. CIRT facilitated a three-hour tabletop exercise that walked several of the organization's leaders through a mock incident that tested cyber incident response plans and preparations. The County has expanded the use of multifactor authentication across the organization to enhance the security of accounts and services. The County has entered into a partnership with NYS to participate in the Joint Security Operations Center to help protect against malicious cyber activity including ransomware attacks. ITS executed penetration testing to identify network vulnerabilities and perform risk remediation.

**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 2021 to 2022 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 2022, 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 2022.

**Exclusion Screening.** The County's Risk & Compliance Administrator 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 2022, Tompkins County continued to partner with the third-party vendor, Verify Comply, for screening and monitoring services. The Risk & Compliance Administrator periodically worked with the Finance Department to upload data and provided training refreshers on the software as needed during 2022.

## Challenges and Opportunities for 2023

**Strengthening Information Security.** ITS will participate with new NYS initiatives to enhance network wide security information and event management (SIEM) tools and intrusion detection systems (IDS) to protect county assets from cyber threats. ITS will continue to roll out a change management process to departments documenting application upgrades and patches that will enhance the data classification system. Conduct a cyber security tabletop exercise involving department heads and other county leaders to train on incident response.

**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 2022. Due to the many challenges surrounding employee training that we faced in 2021, 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 2023 to update outdated policies to reflect current practices. The Risk & Compliance Administrator with the assistance of the Deputy County Administrator, 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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*This report was prepared and submitted by*

### **Tompkins County Compliance Committee**

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