

What Internal Audit Does to Assist the County Regarding Ethics and Compliance

We are available to assist each Department and Agency as regards the County's Code of Conduct, County Policies and Procedures and in developing responses to any Federal or State audit findings. We maintain the County-wide Fraud Hotline and oversee all related investigations. We have over 150 years of compliance and ethics experience and have on our staff former audit executives from State and Federal audit agencies who are ready to assist you. We offer training on Ethics and Compliance Programs and have and will tailor-make or shape the workshop to best meet the needs of your managers and staff.

As part of our commitment to you, we have as our core Ethics and Compliance program contributions the following competencies:

1. We maintain a working knowledge of relevant regulatory issues, of professional or industry substantive codes, and of federal and state laws and regulations.
2. We maintain a working knowledge of relevant ethics issues, of professional or industry ethics codes, and of ethics conflicts resolution techniques.
3. We are able to assist and advise you as to how to develop / implement / maintain a compliance program.
4. We serve as a County compliance focal point.
5. We assist Human Resources in the following areas: develop / implement / maintain the County's Code of Conduct and related procedures.
6. We provide either directly tailored-made training on Ethics and Compliance for both management and staff or assist you in obtaining the right trainer given your issues. We provide assistance in developing desk manuals and handbooks for both compliance and ethics.
7. Provide a County-wide Fraud Hot-Line as the Board sanctioned reporting channel for employees to use without fear of retaliation and assurance of an objective and independent investigation into the complaint.
8. Monitor County-wide compliance quarterly and report on the status to the Board and the Audit Oversight Committee of all ongoing and completed Federal and State audits.
9. Report to the Board, the CEO and his Deputy CEOs the effectiveness and operation of the compliance and ethics program, in compliance with the standards of the Federal Sentencing Guidelines in the form of a quarterly Fraud Hot-Line Report and the External Federal and State Compliance Audit Status Report.
10. Coordinate/conduct investigations to resolve Fraud Hot-Line compliance issues
11. Promote and or establish / monitor controls for an effective compliance program.
12. Represent the County at national and international professional associations on Fraud, Compliance and Ethics.
13. Oversee compliance investigations with county counsel and human resources personnel.
14. Provide follow up on all logged complaints to the Fraud Hot-Line and see to it that management's responds appropriately if a violation is uncovered, internally (by management or employee) or externally (by government or media).

The Director of Internal Audit's motto regarding Ethics and Compliance is "Ignorance isn't bliss and luck isn't a compliance strategy."™