

Internal Audit Office Protecting Personal Information – SSN

The Internal Audit Office is presently performing an Internal Audit on Protecting Personal Information. Our focus during this audit is on Social Security Numbers (SSNs). The use of SSNs in the County of Henrico for conducting business is pervasive. The risk of mis-use has equally expanded with Identity Theft.

The survey is intended to provide general guidance for agencies to assess their information handling practices. Specifically, this survey will help Internal Audit to assess level of privacy-related exposure, from both legal and public relations perspective. This survey does not go into detail regarding specific statutory requirements.

COMPLETED BY

Based upon divisions/sections established within Agencies, it might be necessary for an Agency to complete more than one survey. The need to complete more than one survey would be based on different divisions/sections utilizing different forms, systems, and/or processes.

Agency	
Division/Section	
Name	
Title	
Date	

EMPLOYEE SSN

The following question deals with how Agency handles SSNs of Employees'. Normally, Agencies handle SSNs of employees based upon the time and attendance process and personnel related issues. *After this question, the remainder of the survey focuses solely on citizens'.*

#	Question	Yes	No	N/A
1.	Are employees' SSNs safeguarded so that they are not obtainable by others?			

SSN OF CITIZENS QUESTIONS

SSN INVENTORY

These questions serve as an inventory of forms and systems that record SSNs within the agency. If additional lines are needed to complete your response, please add them.

Please provide an inventory of forms utilized by your Agency that contains SSNs:

Description (Form Title, Form Number)	Designed by	Records Citizens' SSN

Please provide a listing of automated systems utilized by your Agency that contains SSNs. When providing an inventory of automated systems, Owner means who controls the systems. Systems can be owned/controlled by the Federal Government, State Government, Other Agencies, or an Agency System.

System Name/Description	Owner	Records Citizens' SSN

PROVIDING SSN

If SSNs are provided by a Citizen, answer the following:

#	Question	Yes	No
2.	Are SSNs required by law to provide benefits or services?		

OBTAINING SSN

The following series of questions are to determine how SSNs are obtained. Place a check mark in the appropriate column:

#	How SSN Obtained	Applicable to Citizen SSN
3.	In person	
4.	Postal mail	
5.	Internet mail	
6.	Internet site	
7.	By phone	
8.	From another County Agency	
9.	From another governmental unit	
10.	Other	

PURPOSE OF OBTAINING SSN

The following series of questions deal with the reasons why SSNs are obtained. Please check all reasons that are applicable:

#	Reason	Applicable to Citizen
11.	Debt Collection	
12.	Tax Collection	
13.	Welfare and Public Assistance Verification	
14.	Criminal Investigation	
15.	Voter Registration	
16.	Identification	
17.	Other	

SHARING SSN

The following questions determine how Agencies directly share SSNs:

#	Question	Yes	No	N/A
18.	Citizen's SSNs are shared outside of the Agency?			
19.	Citizen's SSNs are on public viewable documents?			

SSN DISCLOSURE

The following questions deal with the type of disclosure made prior to obtaining SSNs:

#	Question	Yes	No	N/A
20.	Is disclosure made to Citizens as to whether obtaining SSNs is optional or that is required to provide benefits or services?			
21.	Is disclosure made to the Citizen on how SSNs will be used?			
22.	Is disclosure made to Citizens on how SSNs will be protected?			
23.	Are practices in place to ensure that SSNs are not disclosed unless required by law?			

PROTECTING SSN

The following questions continues with obtaining information about protecting SSNs:

#	Question	Yes	No	N/A
24.	Do you have a method in place to protect SSNs of citizens documented on forms?			
25.	Do you have methods in place to protect the SSNs of citizens recorded in automated systems?			

PRIVACY POLICY

The following questions deals with general privacy policy issues:

#	Question	Yes	No
26.	Do you think that a Countywide privacy policy is needed?		
27.	Do you think that Countywide training should be provided to train employees on protecting personal information?		

RECORD STORAGE AND DISPOSAL

The following addresses the storage and disposal of records that contain SSNs:

#	Question	Yes	No	N/A
28.	Are manual records that contain SSNs securely stored?			
29.	Are manual records that contain SSNs properly disposed of to ensure that SSNs cannot be retrieved?			
30.	Are automated records that contain SSNs properly disposed of to ensure that the SSNs cannot be retrieved?			

GENERAL COMMENTS

In the place below, provide any comments or concerns your have about protecting, accessing, disclosing, using, and/or disposing of SSNs:

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PREPARED BY

This survey was prepared by Judy A. Davis Poore of the County of Henrico Internal Audit Office. If you have any questions concerning interpretation of this survey, Judy Poore can be reached at: Phone 501-4210, Fax 501-5300, or e-mail poo02@co.henrico.va.us.

This survey was developed by reviewing information from: 1) General Accounting Office, 2) Social Security Administration, 3) Federal Department of Justice, 4) President's Council on Integrity & Efficiency, 5) United States Code, 6) Code of Virginia, 7) Attorney General of the Commonwealth of Virginia Identity Task Force, and 8) Numerous articles on Identification Theft and Protecting Information.