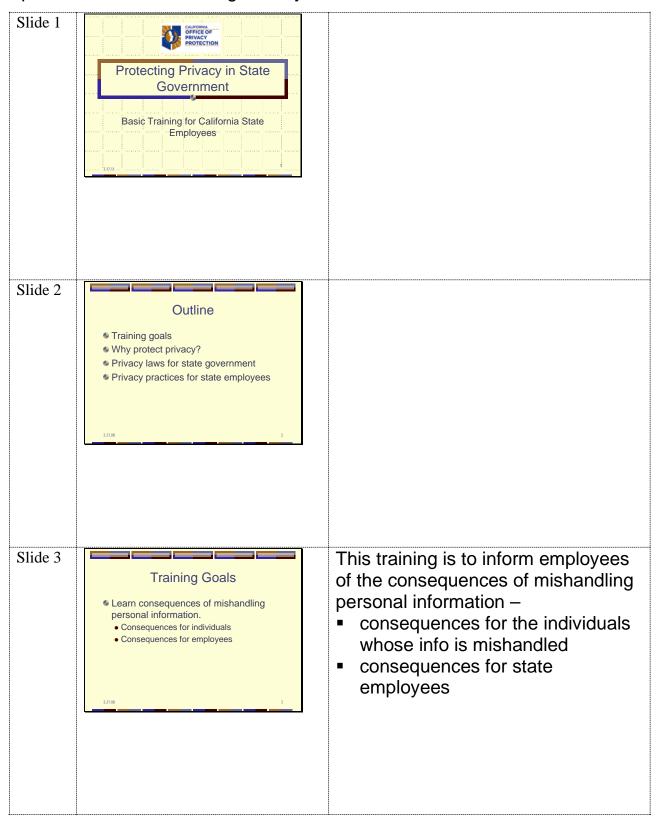
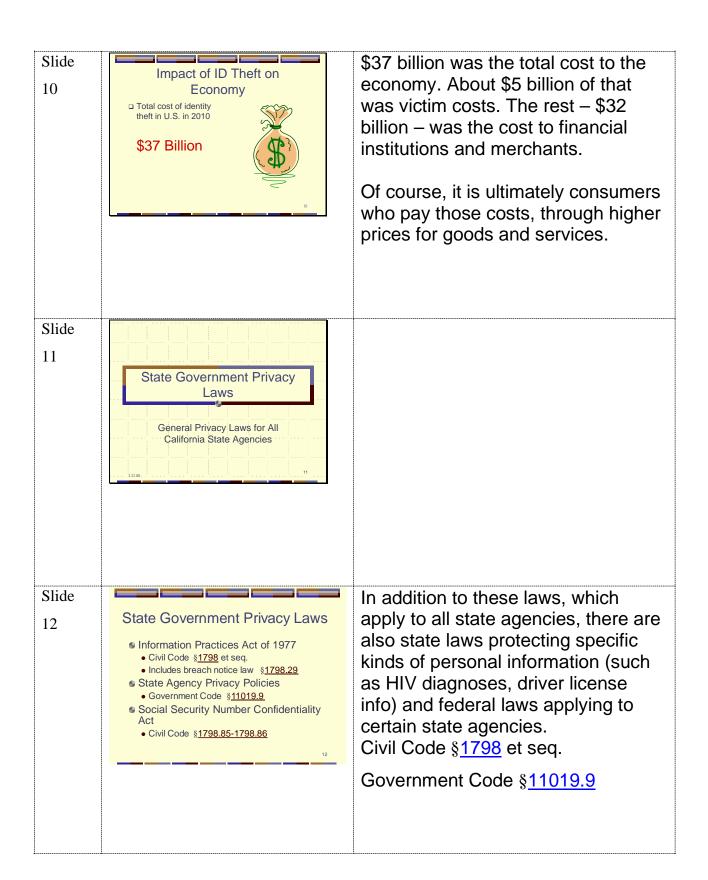
Speaker Notes - Protecting Privacy in State Government PowerPoint



Slide 4 The training will make you aware of **Training Goals** some dangerous informationhandling practices - and help you to Learn risky information-handling practices to avoid. recognize other risky practices in Recognize other such practices in your your workplace. Learn when and how to report information security incidents. You will also learn when and how to report information security incidents in your workplace. Slide 5 Law – State laws require state Why protect privacy? agencies to protect personal information • Information Practices Act, and others Security breaches · Notifying affected individuals can cost over Security breaches – for example, lost \$200 per notice. Identity theft laptops containing personal The low-risk, high-reward crime of our information – cost state agencies **money** (notifying all affected parties) and loss of reputation and trust of citizens. Source: Ponemon Institute study of data breach cost (3/2011).Identity theft – Personal information is sought by identity thieves, who use it to harm people.

Slide 6 People cannot go to another DMV, **Public Trust** another FTB, if they're not happy with the way their personal Citizens have no choice - required to provide personal information to information is handled. government. We have an obligation to protect the information entrusted to us. People entrust their most sensitive personal information - financial information, medical information – to Government agencies. Our failure to protect personal information and use it properly can undermine Californians' faith in their government. Slide 7 **Identity Theft** What It is and Its Impact Slide 8 The most common type of identity What is identity theft? theft is financial - thieves steal personal information and use it to Obtaining someone's personal information and using it for any unlawful make money. purpose Penal Code §530.5 A thief may use a victim's existing Financial · Existing accounts, new accounts account - such as a credit card Services: Employment, Medical Criminal account. Or a thief may use personal information such as name and Social Security number to open new accounts.

Other kinds of identity theft include using someone's SSN to get a job which can create tax liabilities for the victim. Or a thief may use someone's information to get medical benefits which can cost the victim's insurer. This can also pollute the victim's medical records with the thief's diagnoses and treatments, putting the victim's health at risk. "Criminal" identity theft is when a thief uses someone's information when arrested or charged with a crime, which creates a criminal record for the victim. This can be very difficult to correct. Slide 9 According to the most recent Incidence of Identity Theft nationwide survey, there were 9.9 million identity theft victims in 2008. Javelin Strategy & Research, • 3.5% of adults • Including 1 million Californians published 2/09 About 1 million of them were Californians.



Slide		
13	Information Practices Act (IPA)	
	 Comprehensive privacy law for all state agencies. Sets requirements for agencies on collection and management of personal information. 	
Slide 14	IPA: Personally Identifying Information • Broad definition in IPA: "any information that is maintained by an agency that identifies or describes an individual," including, but not limited to: • Name, Social Security number, physical description, home address, home telephone number, education, financial matters, medical or employment history	Information Practices Act (Civil Code §1798.3) The IPA uses a very broad definition of personal information – not just the very sensitive type such as medical, financial, SSN, the kind that ID thieves are after – but also home address & phone number, education, etc.
Slide 15	IPA: Individual Access to Personal Information Individual has the right to see, dispute, correct his or her own personal information.	IPA (Civil Code §§1798.30-1798.44) We all have the right, under the Information Practices Act, to see the records government maintains on us – and the right to dispute, and correct our records if in error.

Slide IPA (Civil Code §1798.20-1798.21) IPA: Security of Personal The IPA requires state agencies to 16 Information Must protect personal info against risks protect personal information from such as unauthorized access, modification, use, destruction. unauthorized, access, use, Use reasonable security safeguards: modification, destruction, etc. administrative, technical, physical Agencies must use reasonable and appropriate safeguards to protect personal information. Administrative safeguards – such as policies on use of passwords for access to databases Technical safeguards – such as firewalls and encryption of data Physical safeguards – such as locked file cabinets, buildings with card key-controlled access We'll cover some other examples of practices for safeguarding personal information later on in the class. Slide Civil Code §1798.45-1798.53 **IPA**: Accountability 17 Individuals may bring civil action vs. There are consequences for violating agency the Information Practices Act. Intentional violation by employee is cause for discipline, including termination Consequences for an agency – Willfully obtaining record containing which may be sued, if violation PII under false pretences is misdemeanor results in adverse impact. • Up to \$5,000 fine and/or 1 year in jail Consequences for an employee - if the violation is intentional. Also consequences for an employee who obtains personal information under false pretences -

Misdemeanor, punishable by a fine of up to \$5,000 and one year in jail. Slide Breach Notice Law is part of IPA: Notice of Security Breach Information Practices Act for State 18 agencies §1798.29 -Agencies must notify people promptly if certain personal information is "acquired (Also applies to businesses, Civil by unauthorized person." Code §1798.82). Requires notification of individuals if their personal information – of a specific type – is "acquired by an unauthorized person" - or is reasonably believed to have been acquired. Intent of law is to give people early warning when their personal info has been compromised – to give them opportunity to take steps to protect themselves against ID theft. For example, if your SSN is involved in a breach, you can place a fraud alert or security freeze on your credit files, protecting you from new accounts being opened using your information.

Slide Generally, the kind of personal **Breach Notice Law** information that triggers the notice 19 Personal info triggering notice: Name plus requirement is the kind identity DL number/State ID number, or thieves want. Financial account number Medical or health insurance information Applies to "unencrypted, computerized" data State policy is to notify in cases of breaches of notice-triggering information, no matter what Financial account number: for example bank account number, · Paper and digital data credit card or debit card number with PIN if required for access to account. Requirement to notify applies to "unencrypted, computerized" data. Encrypted means coded or scrambled so that it's not readable except by those who have a key. State policy for state agencies is to notify in case of breaches involving "notice-triggering" personal information – in any format – paper, electronic, tape, etc. Risk to individuals is same, whether their data was on paper in a manila folder or in a database on a computer. Slide Privacy and Public Records Records can be public – but 20 personal information in the records is Personal information is protected, even in records that are public. still protected - which is why state State agencies redact or black out personal info before releasing public agencies redact (black out) personal records. Check with your PRA coordinator or information. with Legal Check with your department's Public Records Act coordinator or Legal office if you have questions.

Slide **Social Security Number** SSN Confidentiality Act **Confidentiality Act (Civil Code** 21 Prohibits "publicly posting or §1798.85-1798.86) displaying" of SSN, including: • Printing SSN on ID/membership cards Applies to any person or entity Mailing documents with SSN to individual, unless required by law - therefore to state gov't, local Requiring someone to send in email, gov't, private sector. unless encrypted Requiring use as Website log-on, unless additional PW Prohibits public posting or display of SSNs Doesn't prohibit internal use for administrative purposes. Also specifically prohibits certain types of public posting such as printing on ID card for access to goods or services This is why our health plan cards no longer have our SSNs on them. Slide The following are some basic practices for handling personal 22 information responsibly, so that it is Recommended Privacy Practices protected from unauthorized access and use. **Basic Practices for State Employees** These practices are appropriate for most – but not all – work environments. They are intended to make you aware of safer - and of less safe – ways to handle the personal information that you come into contact with in your job. If you have questions about the applicability of any of these recommended practices in your workplace, please raise the issue with your supervisor or with your department's Information Security or Privacy Officer.

Slide Protecting personal identifying Confidential Information information (PII) protects individuals' 23 privacy. Personally identifying information - one type of info to protect Other confidential information to protect includes security-related info, policy Agencies must also protect other drafts, and some department financial kinds of confidential information such as computer security information and department banking information. Practices described here are intended to protect personal information – but they would also protect other kinds of confidential state information. Slide Personal information is worth money Personal Information = Money There's a black market for 24 personal information and identity Handle personal information like thieves use it to make money. it's cash! If you thought of personal information as cash, you would probably handle it differently. You wouldn't leave a pile of \$100 bills lying on your desk when you're away even just for a short meeting, for example. This is how we should all think of the personal information in our care.

Slide Do you store downloaded personal **Know Where Personal** information on your PC? 25 Information Is Learn where personal info is stored in your office - especially sensitive info Do you have print-outs of personal like SSN, DL number, financial account number, medical info information in file folders in an • PCs, workstation file drawers, laptops, BlackBerrys, other portable devices unlocked drawer in your • Employee info as well as info of consumers, licensees, others workstation? The first step to protecting personal information is to know where it is. Take a look around your workstation in your desk drawers, file drawers, shelves – see where you have personal information stored. Slide When you've started to locate where Retain Only When Necessary you're keeping personal information 26 in your workstation – consider Regularly purge unneeded duplicates with personal info from file folders. whether you really need to keep it Unless required to keep. Avoid downloading onto PCs. all. Regularly remove personal info from PCs laptops, other portable devices. Comply with record retention policy for official files. There are some kinds of records and data that we're required to keep, for legal reasons. But there are probably lots of other files – paper and digital – that we no longer need, don't need to keep – and SHOULD NOT keep beyond the period when we're working on them. Develop the habit of regularly purging documents containing personal information from your file folders. Avoid downloading from databases onto your PC – regularly delete what

you do download when you've finished using it. Slide Don't throw documents containing Dispose of Records Safely personal information into your waste 27 basket or recycling bin - shred them Shred documents with personal info & other confidential info before throwing away. first... CDs and floppy disks too Have computers and hard drives properly "wiped" or overwritten when discarding. Lock up Confidential Destruct boxes when left Consult your department's unattended. Information Security Officer about disposing of other data storage media. Or use your office's Confidential Destruct boxes for large quantities of sensitive documents. And manage Confidential Destruct boxes securely – They're effectively labeled "Here's the good stuff - take this first!" Don't leave Confidential Destruct boxes unattended during the day Lock them up over night.

Slide 28	Protect Personal Info from Unauthorized Access Limit access to personal info to those who need to use it to perform their duties. Minimum necessary access	Not everyone in an office NEEDS to have access to all files and databases containing personal information. Especially info like SSN, DL number, financial account number, medical info. Don't give your access to co-workers or others who are not authorized.
Slide 29	Protect Personal Info in Workstations Adopt "clean-desk policy": Don't leave documents w/ personal info out when away from workstation. Lock up documents overnight and on weekends. Lock PC when away from workstation.	Remember to treat personal information like cash – don't leave it sitting out on your desk when you're away. Put files containing personal info in locked drawers or cabinets overnight. Lock your PC – Remember "Control, alt, delete before you leave your seat."
Slide 30	Protect Personal Info in Workstations Don't download "free" software onto PC – may contain spyware Use strong passwords 8 + characters, including numerals and symbols Your password is like your toothbrush – Don't share it!	 Free software may not be free – It may contain spyware that can impair the operation of your computer, carry malicious programs that can steal your passwords and data, introduce a virus into your department's system. Check with your IT department before loading any software you think you need. Don't use obvious facts or numbers as your password – not spouse's or child's name, not birth date.

Use combination of numbers, letters, symbols – 8+ characters One way to create a memorable password that others can't guess is to use initial letters of a sentence that has meaning to you - substituting numbers for some letters and adding symbols. My favorite color is purple = mfc1p& Don't leave your password posted on your PC, don't share it with others. Slide It's a policy... for state government Protect Personal Info on agencies that personal information 31 **Portables** (especially SSNs, DL/ID numbers, Personal info on laptops, thumb financial account number, medical drives, other portable devices must be **encrypted.** info) on laptop or other portable (policy for state agencies) computing device or storage device like CD or thumb drive – MUST BE ENCRYPTED. Authority: SAM 5345.2 Many of the security breaches requiring notification in recent years have involved lost or stolen laptops or other portable devices. When personal information on portable devices is encrypted, it

can't be accessed or used by an

unauthorized person.

Slide Think of email as a post card – Don't Protect Personal Info in Transit send personal information or other 32 sensitive information by email - It's Don't send or receive SSN, DL number, financial account number, medical info via email. not a secure medium. Easy to send Don't leave personal info in voice to wrong people. mail message. Mail securely. There are procedures for • Don't leave incoming or outgoing mail in unlocked or unattended receptacles encrypting email. Consult your Information Security Officer. Don't leave personal information in a voice mail message - you don't know who might pick up the message. Example: Messages from doctor's office left on voice mail of state employee with phone number similar to a pharmacy. Messages contained confidential information. Mail thieves are often after personal information. Don't leave outgoing mail unattended - lock it away when leaving the area. Same for incoming mail. Example: Theft of mail delivered to a department on Saturday. Contained documents with SSNs and checks. Required mass notification via news media and Web site because not known

whose mail was stolen, individual

notice not possible.

Slide A fax is also insecure – don't know Protect Personal Info in Transit who will see or pick up fax from 33 machine. Also easy to mis-key and Don't send sensitive info by fax, unless security procedures are used send to wrong person. Confirm accuracy of number before Arrange for and confirm prompt pick-up If you must fax personal information, use special procedures. Confirm number and key in carefully Call recipient to notify of fax and get confirmation of prompt pickup. Slide Unless you are authorized by your Protect State Info at Home supervisor or manager, don't take or 34 send State records containing Don't take or send State records w/ personal or personal information home. confidential info home unless authorized. If authorized, use If you are authorized to work on state only State laptop or other State equipment. records at home, do so only on State computer equipment. Home computer may not have appropriate security protections. And may be used by others who are not authorized to see state records. Consider recent events when federal VA employee took home a computer containing personal info on 26 million veterans, Home broken into and computer stolen. Resulted in notification and anxiety for millions of veterans, other service personnel.

Many congressional hearings, several VA employees lost jobs.

Slide Identity thieves often try to steal Don't Be Fooled! confidential information by lying and 35 manipulating someone into providing Identity thieves may try to trick employees into disclosing personal it. information. • Phishing e-mails, phone calls Verify identity and authority of anyone requesting personal info. One common form is what's known as "phishing" - an email that looks like it's from a bank or a government agency, for example, asking you to confirm your password, account number, or Social Security number claiming to part of an effort to protect you from fraud. The advice to consumers in light of phishing – which takes place over the phone as well as by email – is NEVER give out your personal information unless you initiated the contact. Such schemes are also targeted at businesses and gov't agencies relying on workers' desire to provide good customer service. When you get a request for personal information on individuals from someone you don't know, make an effort to verify the identity and authority of the requester.

If you're not sure, check with your

supervisor.

Slide In order to be able to maintain good Report Info Security Incidents information security – to protect the 36 information people give to us -Reportable incidents include: · Loss or theft of laptop, BlackBerry, disk, etc. departments must know about and Loss or theft of paper records • Unauthorized acquisition of protected info report information security incidents Unauthorized release, modification, or destruction of protected info promptly. Interfering with state computers or data Be alert to incidents that could expose information to unauthorized access, disclosure, modification, or destruction. Such an incident could be Lost or stolen computer, mobile phone · Lost or stolen mail containing documents or other records · Improperly disposed of documents An unauthorized person getting access to information A virus interfering with operation of your computer Slide [Fill in with phone number and Report Info Security Incidents email address of your 37 department's Information Security Report any security incident promptly to your Department's Information Security Office.] Office • Phone: Email: Report any information security incident PROMPTLY to your department's Information Security Office. Even if you're not sure an incident involves personal information. Your ISO will determine the extent and significance of the incident.

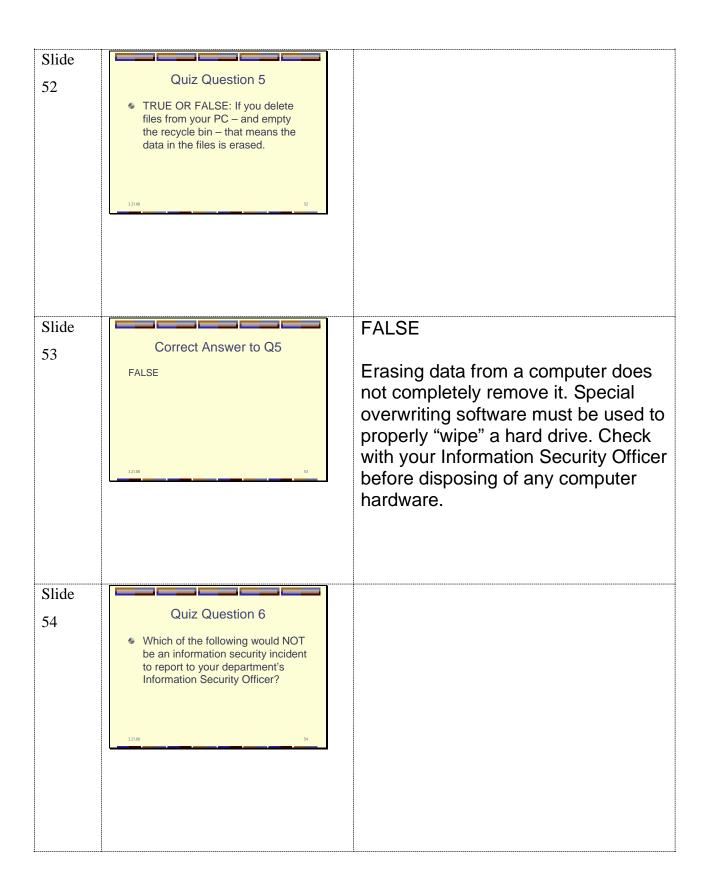
	Of course, report the incident to your supervisor or manager. Over-report, rather than underreport, potential incidents. And prompt reporting is essential. The sooner an incident can be investigated, the sooner any security holes can be filled.
	Protecting privacy is a matter of
A Matter of Respect Respect for citizens and co-workers means protecting their personal information. Protecting privacy is everyone's responsibility.	respect: • Respect for our fellow citizens who entrust us with their personal information, and • Respect for our co-workers, whose information is also in our department's care. Protecting personal information is something an Information Security Officer or a Privacy Officer can do alone. We all touch some of the personal information in our offices and we are all responsible for protecting it.
Privacy Quiz Just for Fun – Test Your Knowledge	
	Respect for citizens and co-workers means protecting their personal information. Protecting privacy is everyone's responsibility. Privacy Quiz Just for Fun – Test Your Knowledge

Slide		
40	Quiz Question 1	
	A Public Records Act request is made for a state government document that contains the home addresses and SSNs of several people. Which one of the following statements is true?	
G1: 1		
Slide	Options for Q1	
41	a) The document is public and must be provided as is to anyone who makes a PRA request for it. b) Because the document contains personal information, it isn't public and should not be given in response to a PRA request. c) The document may be provided in response to a PRA request, but only after the home addresses and SSNs have been blacked out. d) The document is not a public record if you created it on your PC for your own use in doing your job.	
Slide		c) The document may be provided in
42	c) The document may be provided in response to a PRA request, but only after the home addresses and SSNs have been blacked out.	response to a PRA request, but only after the home addresses and Social Security numbers have been blacked out.
	3,2108 42	Check with your supervisor or your department's PRA Coordinator on any PRA request.
		The requirements of the Public Records Act and the Information Practices Act must often be balanced. Redacting or blacking out personal information in public records is one way to do this.

		doing your job does NOT prevent it from being a public record. Government Code §6252 (e) "Public records" includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.
Slide		
43	Quiz Question 2 If you believe that incoming mail has	
	been stolen from your office, where should you report it FIRST?	
Slide		
44	Options for Q2 a) To your supervisor.	
	b) To your department's Information Security Officer. c) To the U.S. Postal Inspection Service. d) To the local police department.	

Slide 48	Correct Answer to Q3 d) HMWC1WC?	d) HMWC1WC? A strong password contains at least 8 characters, including numbers and symbols. Weak, i.e. easy to guess, passwords include pet names, birth dates or anniversaries, and your mother's maiden name. This one is
GI: 1		based on the first letters of the words in the sentence "How much wood could a woodchuck chuck?" It's something you can remember but it's difficult for others to guess.
Slide	Quiz Question 4	
49	Which of the following is the most secure way to get the SSNs of seven people to a co-worker, who is on a business trip, is authorized to have the information, and needs it to do his job?	

Slide Options for Q4 50 a) Send the information in an e-mail. b) Call your co-worker and give him the information over the phone. c) Leave the information in a voice mail message on your co-worker's cell Fax the information to your co-worker at his hotel. Slide b) Call your co-worker and give him Correct Answer to Q4 the information over the phone. 51 b) Call your co-worker and give him the information over the phone. Calling your co-worker is the best of the alternatives. Email is not a secure communications channel, because it can be hacked into as it passes over the Internet. Voice mail is generally not secure because other people may pick up the message. Faxes, especially to a public fax machine like a hotel's, are also not secure. Note that the employee is authorized to have this information, which is the first issue to consider.



Slide		
55	Options for Q6	
	 a) Loss of a laptop containing unencrypted information. b) Accidental mailing of an individual's medical records to the wrong person. c) Theft of your purse, which contained a CD with state data on it. d) Theft of a state-owned electric stapler. 	
Slide		d) Theft of a State-owned electric
56	Correct Answer to Q6	stapler.
	d) Theft of a state-owned electric stapler.	•
	3,21,08 56	All of the other incidents involve data, which may include personal information or other confidential information. The theft of the stapler should be reported to your supervisor as a theft of state equipment.
Slide		
57	Quiz Question 7	
	Which of the following should you do before leaving your workstation for a meeting?	

Slide		
58	Options for Q7	
	 a) Put documents, disks, other records containing personal information (including your purse) in a drawer or otherwise out of sight. b) Hit "control-alt-delete" and lock your computer. c) Call your best friend and have a long chat. d) Both a and b above. 	
Slide		c) Both a and b above.
59	Correct Answer to Q7	o, boil a and b abovo.
	d) Both a and b above. Put documents, disks, other records containing personal information (including your purse) in a drawer or otherwise out of sight. Hit "control-alt-delete" and lock your computer.	Even when leaving your workstation temporarily during the day, lock your computer by ("control-alt-delete" and lock) to protect the data on it, and also put paper records, thumb drives and any other storage media away out of sight. When leaving for the day, shut down your computer and lock up all other data.
Slide		
60	Quiz Question 8	
	A state employee gives a printout of the names, addresses, and driver's license numbers of people who received unemployment benefits to a friend who wants to offer jobs to them. Which of the following are true?	

Slide Options for Q8 61 a) The employee may be found guilty of a misdemeanor punishable by up to \$5,000 and one year in jail. b) The employee may be fired. The employee's department may be The employee will not be punished because his intentions were good. Slide a), b), and c). Correct Answer to Q8 62 The Information Practices Act a) The employee may be found guilty of a misdemeanor punishable by up to contains penalties and \$5,000 and one year in jail. b) The employee may be fired. consequences for those who violate c) The employee's department may be it. Giving this kind of personal sued. information to an unauthorized person places individuals at risk of identity theft, among other things. a) The employee may be found guilty of a misdemeanor punishable by up to \$5,000 and one year in jail as stated in Civil Code §1798.56. Any person who willfully requests or obtains any record containing personal information from an agency under false pretenses... b) The employee may be fire as stated in Civil Code §1798.55. c) The employee's department may be sued as stated in Civil Code § 1798.45.

Slide Privacy laws https://oag.ca.gov/privacy/ **Privacy Resources** Consumer Privacy laws 63 California Privacy Laws https://oag.ca.gov/privacy/consumer-• Privacy Laws page at https://oag.ca.gov/privacy/ privacy-resources Consumer Information Consumers page at **Identity Theft Information** https://oag.ca.gov/privacy/consumer -privacyresources https://oag.ca.gov/idtheft Identity Theft Information • Identity Theft page at https://oag.ca.gov/idtheft

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