

County of San Bernardino

Auditor-Controller/Treasurer/Tax Collector
Internal Audits Section

Transitional Assistance Department: Personally Identifiable Information Audit:



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Auditor-Controller/Treasurer/Tax Collector

Mission Statement

The San Bernardino County Auditor-Controller's Office is committed to serving our customers by processing, safeguarding, and providing information regarding the finances and public records of the County. We perform these functions with integrity, independent judgment, and outstanding service. We are accurate, timely, courteous, innovative, and efficient because of our well-trained and accountable staff.

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Transitional Assistance Department: Personally Identifiable Information Audit

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March 30, 2018

Gilbert Ramos, Director

Transitional Assistance Department
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SUBJECT: PERSONALLY IDENTIFIABLE INFORMATION AUDIT

In compliance with Article V, Section 6, of the San Bernardino County Charter and County Policy 05-20 entitled Internal Operational Auditing, we have completed an audit of the Transitional Assistance Department's Personally Identifiable Information. The objective of the audit was to determine if the personally identifiable information received, collected, stored, and transmitted by the Department is in compliance with County Policy Section 14. We conducted our audit in accordance with the International Standards for the Professional Practice of Internal Auditing established by the Institute of Internal Auditors.

Our audit determined that the overall procedures in place are in compliance with County Policy Section 14.

We sent a draft report to the Department on March 29, 2018.

We would like to express our appreciation to the personnel at the Transitional Assistance Department who assisted and cooperated with us during this engagement.

Respectfully submitted,

Oscar Valdez

Auditor-Controller/Treasurer/Tax Collector
San Bernardino County

By

Denise Mejico

Chief Deputy Auditor

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Background

The Transitional Assistance Department (TAD) is the County agency that is responsible for administering public assistance programs for eligible residents of San Bernardino County. TAD determines the eligibility of residents for various programs including CalWORKS, CalFresh, Medi-Cal, and General Relief Assistance. Programs provide assistance to customers in the areas of subsistence payments, health insurance, family food needs, and temporary financial assistance. The Department also assist individuals with the Welfare to Work program, and provides Volunteer Income Tax Assistance (VITA) preparation services for eligible County families and individuals.

The customer's Personally Identifiable Information (PII) is collected and stored for eligibility determination for programs administered through the Human Services Department. The data collected is stored and secured primarily on the California Automated Consortium Eligibility System (CalACES), formerly known as Consortium IV (C-IV), database. The system is a user-friendly, customer-based, on-line and fully integrated case management system that is designed to manage data. Taxpayer information is also collected during the preparation of individual tax returns through the VITA program, which is a program sponsored by the Internal Revenue Service.

The Department has written policies that establish responsibilities and procedures for protecting and securing PII. The Human Services Policy and Standard Manual addresses the responsibilities for safeguarding and protecting PII. The Department also has policies and standard practices that address information breaches. The standard practice addresses reporting responsibilities and procedures in the event of an information breach. All Department staff, volunteers, and any other authorized personnel who have access to its facilities or resources containing PII, must read, understand, and comply with the Standard Practice. The Department invests resources towards its continuous efforts to ensure its policies and standard practices comply with Federal, State, and County requirements in regards to the protection of PII.



Scope and Objective

The objective of this audit was to determine if personally identifiable information received, collected, stored and transmitted by the Transitional Assistance Department is handled in compliance with County Policy Section 14, as of March 8, 2018.

The following sites were visited during our fieldwork:

- TAD office at 10825 Arrow Route, Rancho Cucamonga, CA
- TAD-West End at 1627 East Holt Blvd, Ontario, CA
- Victorville TAD at 15010 Palmdale Road, Victorville, CA
- Colton TAD at 1900 West Valley Blvd, Colton, CA
- Hesperia TAD at 9655 9th Avenue, Hesperia, CA
- San Bernardino TAD office at 265 East 4th Street, San Bernardino, CA.

Methodology

In achieving the audit objectives, the following audit procedures were performed, including but not limited to:

- Interviews of Department's personnel.
- Review of policies and procedures.
- Walk-through of activity.



Finding and Recommendation

There are no findings for this audit.