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Annual
Surveys



Seattle

**Surveillance
Technology Reviews:
Assessing Risk**

Office of Inspector General & Office of City Auditor

I

Annual
Surveys

II

Risk
Scoring

III

Annual
Review

IV

Compliance
Review

I. Annual Surveys

- Universal Survey of 27 questions
- Tailored Surveys for Each Technology
- Auditees Complete Survey by Deadline

Example Survey Questions

- Is the technology used to record audio?
 - Yes
 - No
- Under what circumstances is it likely that risks to violating civil liberties exist in the use of the technology?
 - Rarely, if at all
 - Through improper use
 - Through proper use
- Approximately how many individuals are subject to the surveillance annually?
 - Fewer than 10
 - Between 10 and 99
 - Between 100 and 999
 - More than 1,000

I

Annual
Surveys

- Tailored for each technology

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Risk
Scoring

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Compliance
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II. Risk Scoring

- Review the Surveillance Impact Report (SIR)

Example Survey Questions

- Is the technology used to record audio?
 - SIR
- Under what circumstances is it likely that risks to violating civil liberties exist in the use of the technology?
 - SIR and/or prior compliance review
- Approximately how many individuals are subject to the surveillance annually?
 - Auditee survey and/or prior compliance review

II. Risk Scoring

- *Review the Surveillance Impact Report (SIR)*
- Considerations
 - Risk scores from survey answers
 - Public concern
 - OIG/OCA Staffing Resources
 - Number of new technologies
 - Years since last compliance review

11.

Summary of Risks	
Risks related to intended use and capabilities	
Frequency of use	
Section A scorecard value on most recent full report	
	<i>Subtotal: Section A</i>
Risks related to intended data sharing	
Frequency of data sharing	
Section B scorecard value on most recent full report	
	<i>Subtotal: Section B</i>
Risks related to data theft or improper retention	
Section C scorecard value on most recent full report	
	<i>Subtotal: Section C</i>
Risks to violating civil liberties	
Risk of disproportionate impacts	
Section D scorecard value on most recent full report	
	<i>Subtotal: Section D</i>
Risks to public perception and community concerns	
Section E scorecard value on most recent full report	
	<i>Subtotal: Section E</i>
Years since last full review	
Any followup statement issued in last full review?	
New SIR filed since last full review	
	<i>Subtotal: Section M</i>
Total Risk Score	

II.

Summary of Risks	Questions
Risks related to intended use and capabilities	A.1, A.2, A.3, A.4
Frequency of use	A.5
Section A scorecard value on most recent full report	A.6
<i>Subtotal: Section A</i>	
Risks related to intended data sharing	B.1, B.3
Frequency of data sharing	B.2
Section B scorecard value on most recent full report	B.4
<i>Subtotal: Section B</i>	
Risks related to data theft or improper retention	C.1, C.2, C.3, C.4
Section C scorecard value on most recent full report	C.5
<i>Subtotal: Section C</i>	
Risks to violating civil liberties	D.1, D.2, D.3
Risk of disproportionate impacts	D.4
Section D scorecard value on most recent full report	D.5
<i>Subtotal: Section D</i>	
Risks to public perception and community concerns	E.1, E.2
Section E scorecard value on most recent full report	E.3
<i>Subtotal: Section E</i>	
Years since last full review	M.1
Any followup statement issued in last full review?	M.2
New SIR filed since last full review	M.3
<i>Subtotal: Section M</i>	
Total Risk Score	

11.

Summary of Risks	Questions	911 Logging Recorder	ALPR Patrol
		Score	Score
Risks related to intended use and capabilities	A.1, A.2, A.3, A.4	3	2
Frequency of use	A.5	4	4
Section A scorecard value on most recent full report	A.6	0	0
	Subtotal: Section A	7	6
Risks related to intended data sharing	B.1, B.3	1	1
Frequency of data sharing	B.2	0	1
Section B scorecard value on most recent full report	B.4	0	1
	Subtotal: Section B	1	3
Risks related to data theft or improper retention	C.1, C.2, C.3, C.4	1	2
Section C scorecard value on most recent full report	C.5	1	0
	Subtotal: Section C	2	2
Risks to violating civil liberties	D.1, D.2, D.3	0	3
Risk of disproportionate impacts	D.4	0	2
Section D scorecard value on most recent full report	D.5	0	1
	Subtotal: Section D	0	6
Risks to public perception and community concerns	E.1, E.2	0	2
Section E scorecard value on most recent full report	E.3	0	0
	Subtotal: Section E	0	2
Years since last full review	M.1	0	0
Any followup statement issued in last full review?	M.2	0	1
New SIR filed since last full review	M.3	0	0
	Subtotal: Section M	0	1
Total Risk Score		10	20

I

Annual Surveys

- Tailored for each technology

II

Risk Scoring

- Compiles Survey Responses & SIR information
- Prioritization

III

Annual Review

IV

Compliance Review

III. Annual Review

- Each technology's risk score ranked
- Important considerations integrated
- Consolidated Risk Memo as the Published Annual Review for all technologies
- Consolidated Risk Memo identifies internal controls designed to reduce risks

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Annual Surveys

- Tailored for each technology

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Risk Scoring

- Compiles Survey Responses & SIR information
- Prioritization

III

Annual Review

- Consolidated Risk Memo as the Published Annual Review
- Identifies Internal Controls

IV

Compliance Review

IV. Compliance Review

- Depending on the considerations identified in the consolidated risk memo, OIG will select technologies
- The current design of the Universal Survey (27 questions) makes it impossible for technologies to not be reviewed every 3 or 4 years
- Compliance Reviews test internal controls designed to reduce risks

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Risk Scoring

- Compiles Survey Responses & SIR information
- Prioritization

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Annual Review

- Consolidated Risk Memo as the Published Annual Review
- Identifies Internal Controls

IV

Compliance Review

- Select Technologies on Rotation
- Tests Internal Controls