



## Ohio State Racing Commission

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Mike DeWine  
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### Policies Regarding Access to Sensitive Personal Information February 22, 2019

1. The Ohio State Racing Commission maintains certain sensitive personal information in its licensing database. This includes individual social security numbers, corporate federal tax identification numbers, and criminal history information.
2. The Ohio State Racing Commission has established and maintains a catalog of laws and administrative regulations and policies, both at the state and federal levels, which govern the storage, use and distribution of sensitive personal information.
3. The Ohio State Racing Commission hereby establishes this written policy which specifically addresses when sensitive personal information under its control may be accessed and how it can be used.
  - A. The following employee positions require access to sensitive personal information:
    - i. Executive Director
    - ii. Deputy Director
    - iii. Investigators and anyone investigating a rule or law violation
    - iv. Inspectors and anyone who issues licenses or maintains the licensing database or the breeding database
    - v. Fiscal Officer and anyone involved in issuing vouchers
    - vi. Any employee who is an alternate for any of the positions mentioned above
  - B. All of the employees mentioned in paragraph (3)(A) will have access to social security numbers and federal tax identification numbers. Only the employees mentioned in paragraphs (3)(A)(i) through (iv) will have access to criminal history information. Social Security numbers are kept as a form of identification and are necessary for verifying licenses for breeders and for background checks under R.C. 3769.03. Criminal history information is used when deciding whether or not to issue a license and may be used during investigations.

- C. All employees of the Ohio State Racing Commission have been trained to ensure that review of sensitive personal information is limited to instances in which access will clearly advance a specific, legitimate governmental objective, such as an investigation of a violation of the Ohio Horse Racing Act or Rules of Racing. Non-public sensitive personal information will only be accessed by personnel expressly authorized to do so and only when there is concrete and articulable reason to believe that personal privacy concerns associated with sensitive personal information are outweighed by the specific, legitimate governmental objective advanced by accessing the sensitive personal information.
  - D. No employee of the Ohio State Racing Commission shall use or access sensitive information for an impermissible purpose. Any employee found using or accessing sensitive information for an impermissible purpose agrees that they have committed Computer Fraud as defined by the Ohio State Racing Commission Employee Manual and will be terminated.
  - E. The Ohio State Racing Commission shall annually review the business need and legal basis for collecting sensitive personal information, in an effort to eliminate the necessity of collecting that information whenever possible.
- 4. The Ohio State Racing Commission has completed a Privacy Impact Assessment Form as directed by the Governor in the Management Directive issued on November 20, 2008.
  - 5. The Executive Director of the Ohio State Racing Commission is responsible for assuring that this Policy and the directives from the Governor are fully implemented in a timely fashion.