3.20.12 EMC Project Coordination

Information Intelligence Group Consulting will staff this engagement with appropriately skilled resources. The staffing process will occur once this Statement of Work has been approved. Information Intelligence Group Consulting will provide resources with the appropriate technical skill set that is properly aligned with the requirements of the engagement. The following descriptions characterize the roles and responsibilities of each EMC project participant.

ROLE	RESPONSIBILITY
Architect	Take the lead in: • Process design/redesign • Solution architecture design • Infrastructure design and planning • Acceptance testing • Maintenance strategy development Use structured techniques to lead and participate in: • Application customizations • Technical implementations
Consultant	• Work under the supervision of the project manager and with technical guidance from the Architect • Engage with the client on requirement definition, solution feature mapping, solution design, infrastructure analysis, and acceptance testing
Project Manager	• Function as the primary contact for TYLER for this project • Able to lead complex projects to a successful completion—on time and within the agreed budget and level of quality • Develop and maintain the project plan, manages issues, provides time and labor cost estimates, and maintains staffing at proper levels • Responsible for the activities of the consultants • Responsible to define and meet testing and implementation timelines

EMC reserves the right to supplement or substitute resources when, in EMC's business judgment, work assignments, tasks or project activities will benefit from such expertise or as necessary due to training, vacation, illness, termination of employment or other reason.

Participants in the Knowledge Transfer sessions have previously been involved in the appropriate requirements and/or development engagement activities, and have received the prerequisite Documentum product fundamentals training appropriate to their business role.

The planned maximum hours for the Services identified in this SOW is 40 hours/week. EMC personnel will not work in excess of 40 hours in a workweek without joint agreement between EMC and TYLER. Days or hours outside of this schedule can be accommodated, but TYLER must request this in writing at least ten (10) days prior to the actual need. Additional charges at EMC's overtime rate may be incurred if this work day(s) is not offset by a day off during the normal work week.

3.20.13 ACR and TYLER Responsibilities

TYLER will ensure that ACR acknowledges that its timely provision to EMC of office accommodations, facilities, equipment, assistance, cooperation, complete and accurate information and data from ACR officers, agents, and employees, and suitably configured computer products (collectively, "cooperation") is essential to the performance of any Services set forth in this SOW.

TYLER acknowledges that EMC's ability to perform the Services and any financial estimate or schedule or milestone commitments related thereto depends upon ACR and TYLER's cooperation on a timely

basis, the additional project scope specifications stated in Section 7 Additional Project Scope Specifications below and ACR fulfillment of the following obligations.

3.20.13.1 Key TYLER and ACR Roles & Responsibilities

The following are responsibilities and other obligations of TYLER and / or ACR

1. EMC will have, if necessary, access to the ACR facilities, when deemed necessary, outside of normal business hours and when sufficient notification is provided to ACR.

2. ACR will provide EMC with building access and parking permits at each location and computer system access within 5 business days of project initiation

3. ACR will obtain, at its own cost and expense, all Third Party Software licenses and maintenance Agreements

4. ACR will provide suitable space and facilities to support a physically co-located core team,includingoffice space, cubicle space, team or meeting rooms, telephones, servers, etc. for any and all work done at ACR facilities

5. Participants in any Knowledge Transfer sessions have previously been involved in the appropriate requirements and/or development engagement activities, and have received the prerequisite Documentum product fundamentals training appropriate to their business role

6. TYLER and ACR will provide EMC with reasonable access to ACR functional, technical and business staff as necessary for EMC to perform the Services

7. TYLER and ACR will ensure that staff is available to provide such assistance as EMC reasonably requires and that EMC is given reasonable access to TYLER and ACR senior management, as well as any members of its staff to enable EMC to provide the Services. TYLER and ACR will ensure that its staff has the appropriate skills and experience. If any TYLER staff fails to perform as required, TYLER and ACR will make suitable additional or alternative staff available

   - ACR resources assigned to the project must possess knowledge of existing ACR processes and have the ability and authority to champion business process changes for ACR

   - ACR will provide database license and make it available

   - ACR will provide access to ACR's current processes and procedures, workflow diagrams and architecture designs

   - ACR will make available any Standard and Operational Procedure documents

   - ACR Product Catalog requirements, and as available the Product Model documents, will be provided

   - ACR will work with representatives of the user community to ensure an understanding of any gaps in requirements and capabilities in advance of implementation

   - ACR will provide a resource to track and monitor project Issues, action items and project status for executive reporting

   - ACR will identify business SMEs and IT users with the following expertise:

     - Network Planning
     - Network Operations
     - Asset and Capacity Management

   - TYLER and ACR will be responsible for test execution and validation of the test scenarios and cases

   - TYLER and ACR will perform all activities related to business process implementation and application deployment

   - TYLER and ACR will support build and data entry activities for infrastructure tables, product catalog and provisioning plan population, and test execution. These activities support knowledge transfer

- ACR will perform all Security Build activities based on the decided recommendations

- TYLER and ACR will provide all information and materials reasonably required to enable EMC to provide the Services. TYLER and ACR agrees that all information disclosed or to be disclosed to EMC is and will be true, accurate and not misleading in any material respect. EMC will not be liable for any loss, damage or deficiencies in the Services arising from inaccurate, incomplete, or otherwise defective information and materials supplied by TYLER and ACR

- TYLER and ACR will be responsible for the review and evaluation of the EMC recommendations as well as all final decisions relating to, or resulting from, the EMC recommendations contained in the deliverable Materials

3.20.14 Assumptions Regarding Third-Parties

- ACR will be responsible to ensure appropriate agreements are in place with third parties to enable EMC to perform the Services under this SOW, where ACR is using or providing EMC with third party information, support or materials for a project including but not limited to, where ACR is employing other suppliers whose work may affect EMC's ability to provide the Services. Unless specifically agreed to otherwise in writing, ACR will be responsible for the management of the third parties and the quality of their input and work. Except to the extent EMC specifically agrees otherwise in this SOW, ACR is solely responsible for any Third Party Hardware, Software or communications equipment used in connection with the Services

- Unless otherwise expressly stated in this Statement of Work, ACR will be responsible for ensuring its own compliance with all laws and regulations, including but not limited to, those pertaining to product safety and regulatory compliance for non-EMC products including those recommended by EMC. It is ACR's sole responsibility to obtain advice of competent legal counsel as to the identification and interpretation of any relevant laws, rules and regulations that may affect ACR's business and any actions ACR may need to take to comply with such laws. EMC makes no representations or warranties with respect to product safety or regulatory compliance of non-EMC products

- ACR is responsible for the identification of, interpretation of, and compliance with, any applicable laws, regulations and statutes that affect ACR's applications or business

- ACR is responsible for determining that any non-EMC products and their integration are in compliance with national building and installation codes and other laws and regulations, including product safety regulations

- ACR is responsible for the actual content of any data file, selection and implementation of controls on its access and use, backup, recovery, integrity, and security of the stored data

- ACR will provide EMC and its personnel with suitable office space, and other accommodations and facilities that EMC may reasonably require to perform the Services, in particular secretarial support, supplies, furniture, computer facilities, telephone/fax communications, high speed internet connectivity and other facilities for up to three EMC personnel while working on the ACR Documentum / Eagle Recorder Integration. The EMC project team will be located in an area adjacent to ACR's subject matter experts and technical personnel, and all necessary security badges and clearance will be provided for access to this area. A lockable four or five drawer cabinet will be provided to EMC personnel in accordance with ACR security procedures. ACR will be responsible for ensuring that it has appropriate backup, security and virus-checking procedures in place for any computer facilities ACR provides or which may be affected by the Services

3.20.15 Additional Project Scope Specifications
The Services (including Deliverables) are subject to the following:

1. Costs for Hardware and Software are not included in TYLER's fees. Tyler's estimate is for project labor only.
2. EMC is not responsible for any alteration or other modification made to a Deliverable by ACR or any third party (excluding any permitted subcontractors working for EMC) or for any work performed by ACR or its contractors in connection with this engagement

3. The purchase and/or license of any EMC product will be governed by the terms of a separate license or purchase agreement between the parties. EMC products cannot be licensed or purchased under the Agreement or this SOW

4. Additional representatives from TYLER's and ACR's functional groups will also be made available to participate, on a part-time basis, to support the initial definition of business processes and provisioning plans and to support system configuration activities

5. The Documentum modules will be implemented in standard, out-of-the-box format without enhancements

6. Identified ACR network, server and workstations will meet Documentum's minimum technical requirements and can accommodate growth

7. All necessary Hardware and Software licenses will be made available by ACR within 2 weeks of project initiation

3.20.16 Location

The Services shall be performed primarily at the r ACR facilities (work site) located at:

- County of Riverside, ACR, Riverside CA.
- However, EMC shall have the option of performing appropriate portions at an EMC-selected location (the "EMC site").

3.20.17 Documentum Appendix - Deliverables

EMC will deliver one copy of each of the following Deliverable Materials. The content of each Deliverable Material is described below.

Phase/Stage	Deliverable
Initiation	High Level Work Plan
Initiation	Project Kickoff Presentation
Analysis & Design	Workshop/Interview Schedule
Analysis & Design	Functional Requirements Document
Analysis & Design	Solution Design Document
Documentum Sizing Assessment	Technical Architecture Document
Software Installation	Installation Cookbook for Each Environment
Build	Configuration Checklist & Handover Document
Test	Test Plan & Test Scripts
Test	Test Results & Remediation Log (Integration & System)
Deploy	Configuration Deployment Document
Project Closure	Project Completion Form

3.20.18 Functional Requirements Document

3.20.18.1   Purpose:

The Functional Requirements Document is the one place to capture all requirements. Content processes specific to Documentum / Eagle Recorder Integration for Riverside County are captured and translated into specific and testable requirements. These processes are broken down into requirements and listed in a requirements traceability matrix used in later phases to track that requirements are addressed.

3.20.18.1.1   Format: Microsoft Word 2010

3.20.18.1.2   Inputs: TYLER Project Charter

3.20.18.1.3   Outputs: Solution Specification Document

3.20.18.1.4   Content:

A document minimally describing current (as-is) capabilities so as to ensure completeness of scope and more fully define future (to-be) capabilities including:

a. Business Requirements

(1) Needed outcomes and capabilities (e.g. taxonomy)

(2) Metrics and targets

b.   User Requirements

(1) Usability and responsiveness

c.   Functional Requirements

(1) How work is accomplished (document processes)

(2) Guidelines, policies, legal constraints

d.   System Requirements

(1) Integration with other systems to form a complete solution

(2) Migration of content

e.   Technical Requirements (non-functional)

(1) Reliability, availability, performance, scalability and security

(2) Applicable standards

f.   Requirements Traceability Matrix

3.20.18.1.4.1   Delivery:

EMC will provide the Enterprise Documentum / Eagle Recorder Integration for Riverside County Requirements Specification during the Requirements Stage. As this deliverable is the basis for all future work, acceptance and change control are essential to a successful project.

3.20.19 Solution Design Document
3.20.19.1   Purpose:

Defines functional design of the system. Includes use cases and screen mock-ups, mapping of functional requirement to Software component used to meet requirement. Conduct gap analysis between requirements and solution capability. To-Be business processes have been refined and modeled. This is a key point of agreement between business process owners and the project team.

3.20.19.2   Format: Microsoft Word 2010

3.20.19.3   Inputs: Documentum / Eagle Recorder Integration for Riverside County Business Requirements. Analysis Document

3.20.19.4   Outputs: Test Strategy Document & Requirements Traceability Matrix

3.20.19.5   Content:

The Solution Specification Document refines the Business Requirements and includes:

- Up to one Use Cases...Documentum Eagle Recorder Integration.
- Gap analysis between requirements and functional capabilities not being addressed.

3.20.19.6   Delivery:

EMC will provide the Documentum / Eagle Recorder Integration Solution Design Document during the Design & analysis Stage. As this deliverable is the basis for the integration build and testing; careful review, acceptance and change control are essential to a successful project.

3.20.20 Test Strategy and Plan Document
3.20.20.1   Purpose:

The Test Strategy and Plan defines the complete approach for testing as well as critical criteria to start and complete testing.

3.20.20.2   Format: Microsoft Word 2010

3.20.20.3   Inputs: Documentum / Eagle Recorder Integration for Riverside County Business Requirements Specification. Documentum / Eagle Recorder Integration for Riverside County Solution Specification Document

3.20.20.4   Outputs:
- Requirements Traceability Matrix
- Unit Test Scripts
- Functional Test Scripts
- Integration Test Scripts
- Load Analysis 1 Response
- Load Analysis 2 Response
- DR Report Response
- Project Plan (updated)

3.20.20.5   Content:

The Test Strategy & Plan includes:
- Success criteria
- Testing phase definition including unit, functional, integration and user acceptance testing
- Test scenarios identification
- Test user identification and role
- Test data sources
- Resource identification
- Schedule
- Defect tracking approach, process and tool
- Reports and processes for reporting testing results

3.20.20.6   Delivery:

EMC will provide the Documentum / Eagle Recorder Integration for Riverside County Test Strategy & Plan Document during the Solution Specification Stage.

3.20.21 Solution Design Document
3.20.21.1   Purpose:
Describes in detail how the solution works. Includes detailed configuration information, information for migration integration. The Solution Design is updated later during the Build Phase so as to accurately reflect the as-built system.

3.20.21.2   Format: Microsoft Word 2010

3.20.21.3   Inputs: Documentum / Eagle Recorder Integration for Riverside County Business Requirements Specification. Documentum / Eagle Recorder Integration for Riverside County Solution Specification Document

3.20.21.4   Outputs:
- Technical Architecture Document
- Operations Runbook
- Project Plan (updated)
- Unit Test Scripts
- Functional Test Scripts
- Integration Test Scripts
- Train-the-Trainer Materials
- Help Desk Orientation

- PROD Deployment Plan

3.20.21.5   Content:
The Solution Design Document is the culmination of all activities to this point in the project. Once approved, it serves as the new baseline for what is completed on the project. Requirements are reflected in the design and the Requirements Traceability is updated to reflect the specific relationship.

The Solution Design Document defines these components of the system:
- Data model (object relationships, attributes, pick lists, default values, data sources)
- Search templates and results
- Folder views and auto-naming / auto-filing rules
- Content formats, renditions, viewing and preview
- Security
- Integration including linking, attribute population and updates
- Content ingestion / migration and attribute population / transformation and rendition generation

3.20.21.6   Delivery:

EMC will provide the Solution Design Document during the Solution Design Stage.

3.20.22 Technical Architecture Document

3.20.22.1   Purpose:
The Technical Architecture Document defines the detailed sizing, platform, storage, operating systems and Software to document and modify the environments to meet many of the non-functional requirements identified within the Solution Requirements.

3.20.22.2   Format: Microsoft Word 2010 with Microsoft Visio 2010 diagrams as required to illustrate the systems and connectivity.

3.20.22.3   Inputs: Documentum / Eagle Recorder Integration for Riverside County Business Requirements Specification. Documentum / Eagle Recorder Integration for Riverside County Solution Specification Document

3.20.22.4   Outputs:
- Operations Runbook (Updated)
- Installation Cookbook (for additional products installed/configured)
- Test Plan (related to sizing for load and disaster recovery testing)

3.20.22.5   Content:

The Technical Architecture Document consists of the following primary components:

- System capacity sizing
- Security related to system level identification, authentication and encryption
- Reliability and availability
- Backup and recovery (including considerations for system disaster recovery)
- System architecture in support of the Requirements and Solution Specifications

3.20.22.6   Delivery:

EMC will deliver the Technical Architecture Document in accordance with the Solution Design Document during the Solution Design Stage.

3.20.22.7   Installation Cookbook
3.20.22.7.1   Purpose:

The Installation Cookbook is intended to capture the specific steps and configuration options selected during the installation of EMC products. The Installation Cookbook does not explain the options available or the reasoning for selecting specific options. See the Technical Architecture Document or Solution Design Document for the reasoning around configuration options selected. The Installation Cookbook is not intended for review by resources unfamiliar with the technology. Formal EMC training and knowledge exchange is strongly recommended for those reviewing the Installation Cookbook.

The Installation Cookbook is referred to by the Operations Runbook.

3.20.22.7.2   Format: Microsoft Word 2010 with substantial screen shots (very large file)

3.20.22.7.3   Inputs: Documentum / Eagle Recorder Integration for Riverside County Technical Architecture Document. Documentum / Eagle Recorder Integration for Riverside County Solution Design Document

3.20.22.7.4   Outputs: Operations Runbook (Updated)

3.20.22.7.5   Content:

The Installation Cookbook contains the following components for each environment installed:

- Screen shots in the order of execution during Software installation
- Tables indicating the specific configuration selected for TYLER (note: not all options will be identified or defined)

3.20.22.7.6   Delivery:

The Installation Cookbook(s) will be delivered during the Software Install Stage. Each file is generally many megabytes large and will be provided to TYLER in electronic format directly to their FTP site.

3.20.23 Test Results and Remediation Log (Integration & System)

3.20.23.1   Purpose:
Test Scripts define the specific test activities to be conducted. They include the user role to be utilized, specific objective of the test, test data required to begin the test, predecessor tests (if applicable), and each specific action and expected results.

Each Test Script to be created is identified in the Testing Plan to meet specific requirements for each of the testing phases including Unit, Functional and Integration.

3.20.23.2   Format: Microsoft Word 2010

3.20.23.3   Inputs: TYLER Documentum / Eagle Recorder Integration for Riverside County Test Plan. TYLER Documentum / Eagle Recorder Integration for Riverside County Requirements Specification. TYLER Documentum / Eagle Recorder Integration for Riverside County Specification Document. TYLER Documentum / Eagle Recorder Integration for Riverside County Solution Design Document

3.20.23.4   Outputs: Test Response

3.20.23.5   Content:
Each set of Test Scripts (Unit, Functional and Integration) consists of multiple tables with each table identifying:
- Test Script Name
- Test Script Objective
- Test Script Execution Date
- Test Script Execution Person
- Test Script Disposition (Pass / Fail)
- User Roles Required

- Test Data Required
- Predecessor Test Scripts
- Test Action
- Test Expected Result
- Test Actual Result
- Test Step Result (Pass / Fail)

3.20.23.6 Delivery:

Each Test Script will be prepared and delivered in accordance with the Testing Plan and Updated Project Plan. Test Scripts are defined in the Test Stage.

3.21 Attachment A43 - Riverside County Records and Archives Policy

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**1 of 13**

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**2 of 13**

Part A. General

Section A.1. Title
This policy shall be known as "the County Records Management and Archives Policy."

Section A.2. Findings
The Board of Supervisors finds that in order to safeguard rights and ensure accountability it is in the best interests of the County and the citizens thereof, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards of responsible recordkeeping across all county departments.

Section A.3. Authority
This policy is adopted in consideration of the provisions of Government Code §6250 et seq. pertaining to the availability and accessibility of public records; Government Code §§26201-26202.6 and §§26205-26205.8 pertaining to the Board of Supervisors' responsibilities regarding the retention and destruction of County records; in accordance with Government Code §12168 et seq. pertaining to establishing standards; in accordance with Government Code §34090.7 pertaining to prescribing procedures for destruction of duplicate records; and pursuant to County of Riverside Resolution 2004-044 pertaining to the retention and destruction of County records.

Section A.4. Purpose and intent
It is the purpose and intent of this policy to establish a uniform program of responsible recordkeeping applicable to all County departments in accordance with applicable law. By doing so, it is the Board of Supervisors' goal to:
a. SAVE SPACE by removing from offices records not required for the day-to-day operations; by removing from storage areas records that no longer have significant value; and by maintaining a consistent flow of records from office space to off-site storage to destruction.
b. SAVE MONEY by better utilization of office space and imaging technology for active records; by restricting the use of leased space for storage of inactive records; by controlling the purchase of equipment and supplies to file inactive records; by providing cost effective storage facilities for inactive records; and by encouraging the use of automated micrographic systems for very active, long term and archival records.
c. SAVE TIME AND LABOR in locating records by removing inactive records from office files; by centrally locating inactive records in an off-site facility; by maintaining a computerized records management system which provides for retrieval and accounting of off-site records and utilizing imaging technology and automation for active records retrieval.
d. PRESERVE AND PROTECT documents of historical significance and/or archival value.

Section A.5. Applicability
This policy and the standards for responsible recordkeeping developed under its authority applies to all County departments.

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**3 of 13**

Part B. Program responsibilities

Section B.1. Responsibilities – records management and archives program

The County Assessor-Clerk-Recorder's office shall manage and operate the County Records Management Program and the County Archives (to be known collectively as RMAP) on behalf of the County Board of Supervisors. RMAP shall develop and maintain a multi-year business plan to make available archival, records and reformatting services to all County departments. This plan shall include establishing fees adequate to recover the full costs of such services.

RMAP shall periodically survey departmental records management practices, and where appropriate recommend improvements in those practices. This shall include assessing use of space, equipment, systems and supplies necessary and appropriate to create, receive, maintain, store, archive and make available records.

Section B.2. Responsibilities – County Records Center

To make available cost effective storage, access, and disposal for County records of temporary value, RMAP shall manage and operate the official County Records Center following generally accepted records management standards.

Preferably, County records with limited retention periods that are not immediately required to support day-to-day business should, as appropriate, be stored at the County Records Center for the remainder of their retention period.

Any alternative records storage facilities used by departments to store County records, such as leased facilities or third party vendors, shall meet appropriate guidelines for secure records storage developed by RMAP based on generally accepted best practices. County records shall only be stored in facilities with fire warning and suppression systems, and with adequate security to prevent unauthorized access to, or interference with, the records.

Section B.3. Responsibilities – County Archives

The official County Archives shall identify, collect, preserve, and make available the County's documentary heritage of records of permanent value. The County Archives shall follow generally accepted standards of archival practice.

In order to ensure preservation of records most cost effectively, departments which choose to transfer County records of permanent value to the County Archives should do so as soon as practicable. County departments should work with the County Archives as applicable to develop procedures that balances the need to preserve records of permanent value with continuing department business need for access to them.

Section B.4. Responsibilities – custody, control of, and access to records

The rights of custody and control of records that departments choose to store in the County Records Center remain with the departments, which are responsible for granting access to County employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access to records shall remain in effect while stored at the County Records Center on behalf of departments.

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**4 of 13**

When departments choose to have records accessioned into the County Archives, rights of custody and control of those records transfer to the County Archives. This shall be known as archival custody. The County Archives shall be responsible for providing access to records in archival custody to County employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access shall remain in effect for records under archival custody.

Any County officer or employee having custody or control of any County records shall, at the expiration of their term of office, appointment, or employment, deliver custody and control of all records kept or received by them to their successors or supervisors, or to RMAP if appropriate and as directed.

All records in the possession of any County department shall, upon termination of activities of such department, be transferred to any successor department or to RMAP as appropriate, provided that such transfer of custody and control is consistent with the formal provisions of such termination.

Section B.5. Responsibilities – departmental cooperation

County departments shall, as appropriate, cooperate with RMAP to meet the intent of this policy, follow the guidelines for responsible recordkeeping established under this policy, and develop department policies and procedures in accordance with those guidelines.

Each County department shall designate an individual, or individuals, to assist with and be directly responsible for implementing this policy. RMAP shall offer regular training to assist and support those departmental personnel.

Section B.6. Responsibilities – requests for space allocation

Departments shall include a description of their records management plan with any request for additional space and relevant capital improvements, and in that description shall include any work with RMAP to most efficiently and cost effectively address the space demands of records in their current location.

Section B.7. Responsibilities – records & micrographic equipment, software & systems

Regarding purchases, upgrading, or rental of records and/or micrographic equipment, software and systems the purchasing agent shall consult with RMAP to ensure efficient and cost-effective use of existing resources and to meet established standards for responsible recordkeeping.

Section B.8. Responsibilities – annual report

Within ninety days following the end of each fiscal year, RMAP shall make an annual report to the Board of Supervisors summarizing the activities of the program, and conformance to generally accepted responsible recordkeeping standards. The annual report shall include a listing of all extensions to retention periods requested by and granted to departments through the course of the year, and brief summaries of the justifications given.

The annual report shall include a summary of the financial activities of the program in the previous year compared with budgeted appropriations and estimated revenues. The annual report shall also include the program's long-range financial plan over a period of not less than five years into the future. The annual report shall also include an executive summary of the program's business plan, including, but not limited to, an assessment of service needs and market opportunities, strategic planning, and capital planning.

Part C. Standards

Section C.1. Standards – establishing

With the approval of the County Executive Officer and County Counsel, RMAP shall establish standards for responsible recordkeeping in conformity with applicable statutes, regulations and recognized best practices, and shall upon request provide training, advice, and assistance to all County departments in conforming to those standards. As necessary and appropriate, the director of RMAP shall organize one or more committees to assist in establishing standards for responsible recordkeeping. He or she, or his or her representative, shall chair any such committee, which shall include representatives of concerned departments.

Section C.2. Standards – establishing – records retention and destruction

RMAP shall develop standards, forms and procedures to assist departments in preparing departmental records retention schedules that adequately provide for the indefinite retention of records of permanent value, and for the prompt and orderly disposition of records of temporary value.

Section C.3. Standards – copy of record

Where any County record, as defined in this policy, is created or received and maintained in more than one copy, the department concerned shall clearly designate a copy of record, and shall assign responsibility for maintaining that copy of record in accordance with the applicable records retention schedule.

Section C.4. Standards – eye-readable formats

Records with a mandatory retention of five years or longer shall be maintained in an eye-readable format in addition to any electronic format used for access or business process support. Records vital to business continuity, whatever their mandatory retention, shall be maintained in eye-readable format in addition to any electronic format used for access or business process support.

Section C.5. Standards – reformatting

To ensure cost-effective production of copies, whether analog or digital, of County records that meet required standards for surrogates, RMAP shall manage and operate an official County reformatting program following generally accepted industry standards. RMAP shall maintain a reference library of such applicable national and international reformatting standards for the use of all County departments and other clients.

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**6 of 13**

Reformatting of County records by any department other than RMAP, or by any outside contractor, shall meet or exceed the same standards applied by the County reformatting program. All departments performing their own reformatting or contracting for reformatting shall work with RMAP to establish appropriate procedures to confirm adherence to those standards.

Section C.6. Standards – microfilm

All film used in the microphotography process shall meet or exceed minimum standards of quality approved by the United States Bureau of Standards and the American National Standards Institute, or other generally recognized standard setting organizations as applicable and relevant. A true copy of the microfilm shall be kept in a safe and separate place for security purposes.

Section C.7. Standards – electronic format

In accordance with Government Code §12168 et seq., the Board of Supervisors recognizes the need to adopt uniform countywide standards for the purpose of storing and recording both permanent and temporary records in electronic media. In order to ensure that uniform countywide standards remain current and relevant, RMAP, in consultation with the County Executive Officer and County Counsel, shall adopt appropriate standards established by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations as applicable and relevant. These standards shall include a requirement that a trusted system be utilized.

In order to implement standards as expeditiously as possible, and until such time as specific countywide standards are adopted, RMAP shall make readily available to department's copies of standards and/or guidelines recommended by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations, as applicable and relevant, for recording permanent and/or nonpermanent records. County officers shall ensure microfilming, electronic data imaging, and photographic reproduction meet or exceed these minimum standards.

Section C.8. Standards – electronic filing

When not inconsistent with other provisions of law, RMAP may, in consultation with the County Executive Officer, County Counsel, and other interested parties, propose to the Board of Supervisors adoption of policies and procedures to authorize electronic filing in lieu of filing or recording documents presented in paper format, including filing by facsimile, of any document required to be filed with the County under any act administered by the County.

The rules and regulations may set forth standards for the acceptance of a signature in a form other than the proper handwriting of the person filing a document that requires his or her signature. A signature on a document electronically filed, or filed by facsimile, in accordance with those rules and regulations is prima facie evidence for all purposes that the document actually was signed by the person whose signature appears on the electronically filed document or facsimile.

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	**A-43**	**7 of 13**

The filing or recording shall constitute a unique computerized informational record. The record need not be retained in the form in which it is received, if the technology used to retain the record results in a permanent record that does not permit additions, deletions, or changes to the original document, and from which an accurate image may be created during the period for which the record is required to be retained. The filing officer may employ a system of microphotography, optical disk, or reproduction by other techniques that does not permit additions, deletions, or changes to the original document. A true copy of the microfilm, optical disk, or other storage medium shall be kept in a safe and separate place for security purposes.

Part D. Records retention

Section D.1. Records retention schedules – general
In order to most efficiently and effectively implement the various provisions of the Government Code pertaining to Board of Supervisors approval of records retention and destruction, the County shall use board approved general and departmental records retention schedules that specify various record series, their retention periods, and any particular restrictions or specifications regarding their retention, disposition and destruction.

Section D.2. Records retention schedules – responsibilities
RMAP shall coordinate preparation of records retention schedules and records destruction activities generally, and shall act as liaison between departments, risk management, the County Auditor-Controller, County Counsel and the County Executive Office in matters dealing with records retention.
County departments shall develop and maintain their own records retention schedules and records destruction activities in accordance with the established guidelines pursuant to Section D.9, below. This includes coordinating statutorily required Board approval of each departmental schedule, and periodic updates as necessary to remain current.

Section D.3. Records retention schedules – responsibilities – master file
RMAP shall maintain a master file of all records retention schedules approved by the Board of Supervisors with a copy of the Board minute order of approval attached to each. RMAP shall make readily available to County officials, employees, and the public reference copies of approved records retention schedules.

Section D.4. Records retention schedules – standard – copy of record
Records retention schedules shall apply to the copy of record, unless explicitly stated otherwise.

Section D.5. Records retention schedules – standard – retention periods
The retention periods on Board approved records retention schedules are mandatory, and records shall be disposed of in accordance with those approved retention periods. Records not required for active or likely litigation, and which have been subjected to any and all applicable audits, must be disposed of at the end of their scheduled retention

period, unless a department head certifies a specified business need to extend their retention period. RMAP shall keep a register of such certified extensions, and report a summary of extensions in their annual report.

In some departments, records of a series listed on the County's general records retention schedule may need to be retained longer than the general schedule period, due to specific audit or contract requirements applicable to that department's programs. Departments should treat such cases separately when developing and revising their specific records retention schedules.

As an interim measure until all departments have specific records retention schedules, department heads or their designees shall certify a business need to extend the retention period required by the general schedule for such records, citing the specific audit or contract provisions concerned. Such records shall be disposed of on authority of the general schedule when this certified extension has passed.

No duplicates or other copies of any record shall be retained longer than the mandatory retention period for the copy of record. When records are disposed of by schedule, departments shall ensure they retain no duplicates or other copies.

Section D.6. Records retention schedules – approval

Pursuant to Government Code §26205.1, to be in effect records retention schedules require approval by the Board of Supervisors. Records retention schedules submitted by RMAP to the County Executive Office for Board approval shall require prior sign off by the County Archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP.

RMAP sign-off of any proposed records retention schedule shall include certification the schedule was reviewed by a professional archivist and/or historian to ensure the need to maintain the County's documentary heritage is adequately considered in establishing the retention periods.

Section D.7. Records retention schedules – list of approved schedules

All records retention schedules approved by the Board of Supervisors shall be listed below in this section by title, schedule number, approval date, and agenda number. The list in this section shall constitute the only valid list of authorized records retention schedules to be used by County departments and RMAP.

Subsequent to the adoption of this policy, a motion for the Board of Supervisors to approve a records retention schedule shall be taken as a motion to amend this policy to add the title and approval date of the schedule to this section.

Listing a records retention schedule in this section shall be taken as inclusion by reference of the entire approved retention schedule in the text of this policy.

When revising a records retention schedule, a motion for the Board of Supervisors to approve a revised retention schedule shall be taken as a motion to amend this section of this policy to add the title of the revised schedule and approval date to this section, and to delete the title and approval date of the previous version of that schedule from this section.

Subject: Policy: Pages:

Board approved records retention schedules are listed below as follows:

Schedule Title	Schedule No.	Date	Agenda No.
General Records Retention Schedule	GRRS_2009_Rev04	4/20/2010	3.19
ACR-Assessor – Valuation , Title, Mapping, Assessment Services & Exemptions		1/23/2007	3.5
ACR – County Clerk		1/23/2007	3.5
ACR-Recorder		1/23/2007	3.5
County Counsel	DRRS_COCO_2008_Rev01	12/16/2008	3.12
County Executive Office	DRRS_CEO_2009_Rev01	7/21/2009	3.6
CHA-Environmental Health – Environmental Resources Management / Land Use / Water Engineering		1/23/2007	3.5
CHA – Public Health – Child Health and Disability Prevention (CHDP)		1/23/2007	3.5
CHA-Public Health – Children's Medical Services, Child Health Programs, California Children's Services		1/23/2007	3.5
CHA-Public Health – Clinic Management		1/23/2007	3.5
CHA-Public Health – Community Outreach		1/23/2007	3.5
CHA- Public Health – Disease Control / Administration		1/23/2007	3.5
CHA – Public Health – Disease Control / Communicable Diseases		1/23/2007	3.5
CHA – Public Health – Disease Control / Epidemiology & Program Evaluation		1/23/2007	3.5
CHA – Public Health – Disease Control / Healthy Children's Connection		1/23/2007	3.5
CHA – Public Health – Disease Control / HIV / AIDS		1/23/2007	3.5
CHA – public Health – Disease Control / Immunization		1/23/2007	3.5
CHA – Public Health – Disease Control / Immunization Registry		1/23/2007	3.5
CHA – Public Health – Disease Control / Tuberculosis		1/23/2007	3.5
CHA – Public Health – Disease Control / Sexually Transmitted Diseases		1/23/2007	3.5
CHA – Public Health – Maternal, Child and Adolescent Health (MCAH)		1/23/2007	3.5
CHA – Public Health – Special Services / Office of Industrial Hygiene		1/23/2007	3.5
CHA – Public Health – Nutrition Services / Women, Infants, Children (WIC)		1/23/2007	3.5
County Human resources	DRRS_CHR_2008_Rev01	12/16/2008	3.12
Flood Control	950-01	12/18/1990	7.7
TLMA – Traffic Engineering Section	500-01	10/5/1999	2.13
Veteran's Services – Administration	581.1	9/10/2002	2.16

Section D.8. Records retention schedules – general schedule

A general records retention schedule for the County shall be developed and maintained under the supervision of the director of RMAP, or their designee, in consultation with other County departments as necessary and appropriate.

The completed or updated proposed general records retention schedule shall be accompanied by a signature page signed by the County Archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP, or their respective designees. The general records retention schedule and its accompanying signature page shall be submitted under cover of a fully executed Form 11 by RMAP to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval.

A Board approved general records retention schedule shall only provide authority for the disposition of 'housekeeping' records commonly found in most County departments. The general records retention schedule shall not cover the specific programmatic records produced by departments. Retention requirements of programmatic records shall be defined and documented by departments in their own specific records retention schedules.

Pursuant to Government Code §26205.1, no general records retention schedule shall be effective unless and until approved by the Board of Supervisors.

Section D.9. Records retention schedules – departmental schedules

Specific records retention schedules shall be developed and maintained by each County department. RMAP shall provide forms and procedures for inventorying records and developing retention schedules, and shall provide guidance and assistance to department personnel in their use upon request.

All proposed or updated department records retention schedules and their accompanying signature pages shall be submitted on behalf of departments by RMAP under cover of a fully executed Form 11 to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval. All records retention schedules submitted to the Board of Supervisors shall be accompanied by a signature page signed by the head of the department, Risk Management, County Auditor-Controller, County Counsel, the County Archives manager, and the director of RMAP, or their respective designees.

Pursuant to Government Code §26205.1, no departmental records retention schedule shall be effective unless or until approved by the Board of Supervisors.

Section D.10. Records retention – records destruction

Pursuant to Government Code §§26201-26202.6 and §§26205-26205.8, County records, as defined in this policy, shall only be destroyed: (1) in accordance with an approved records retention schedule listed in this policy; or (2) after reformatting to required standards; or (3) with specific permission of the Board of Supervisors. Reformatting means to copy the content, structure, and context of records to another medium in such a way the copy may act as a satisfactory surrogate for the original. In order to conserve space and resources, original records reformatted to required standards may be destroyed before their approved retention period has expired, since from the time the originals are destroyed the reformatted copies are deemed to be

Subject:	Policy:	Pages:
COUNTY RECORDS MANAGEMENT AND ARCHIVES POLICY	A-43	11 of 13

original records, and subject to the same requirements and restrictions of the retention schedules applicable to the originals.

Records shall be destroyed in accordance with standards and procedures developed by RMAP. These procedures shall include a form approving the destruction signed by the head of the department, or their designee, and the director of RMAP, or their designee. All approvals of the destruction of records shall include: (1) a citation to the specific records retention schedule and the specific item on that schedule providing authority for the destruction; or, (2) certification that the records were reformatted to required standards, and the reformatted copies are intended to serve as the copy of record; or (3) an attached copy of the board minute order authorizing destruction.

Records required in relation to active or likely litigation shall be maintained, and may not be destroyed by authority of an approved schedule, until all litigation matters are finally resolved and both risk management and County Counsel approve disposition.

Records required for audit purposes shall not be destroyed by authority of an approved schedule until all applicable audits are complete and audit exceptions resolved.

All approvals of the destruction of records shall include certification by the head of the department, or their designee, that the records are not required in relation to active or likely litigation or for audit purposes.

A representative of RMAP or the department shall supervise the destruction of records, and shall attest in writing that destruction is carried out according to required procedures.

Section D.11. Records retention – non-records destruction

Pursuant to Government Code §34090.7 and other provisions of the state statutes, non-records, as defined in this policy, may be destroyed at any time. Departments may dispose of non-records when they are no longer needed to support business processes.

Glossary

As used in this policy, the following terms shall have the following meanings:

"Accession" means the process whereby the County Archives accepts transfer from a County department of records of permanent value which the department selects for preservation and which are brought within the County Archives' systems of physical and intellectual control.

"Archival custody" means the state of records once accessioned by the County Archives, and in which the County Archives accepts responsibility for appropriately maintaining those records, which includes planning and budgeting for their preservation, and for providing access in accordance with all applicable statutes, regulations, policies and procedures.

"Copy of record" means the copy of a record designated as the official copy.

"County Archives" means a facility for the collection, preservation, and use of records of permanent value transferred by departments to the County Archives, and which is managed and operated to generally accepted standards of archival practice. Departments transfer legal custody of records that they choose to transfer to the County

Archives, although legal, regulatory and procedural restrictions regarding access to those records remain in effect.

"County Records Center" means a facility for the cost-effective storage and disposition of records of temporary value managed and operated to generally accepted records management standards. Departments retain legal custody of the records they choose to house in the County Records Center.

"Department" means every County office, department, group of departments, division, bureau, board, and commission that is not separate public entities of the County.

"Duplicate" means any accurate and unabridged copy of a record or series of records.

"Eye-readable" means that records are in a format that can be directly interpreted by the human eye with or without magnification, and with no need for mediating interpretation such as software applications. Examples of eye-readable formats are paper, microfilm, and microfiche.

"Non-records" means duplicates or other copies of records made solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank forms or publications; or library or museum material intended solely for reference or exhibit.

"Permanent value" as applied to records means there is no termination or end point to the value of maintaining the records, and that they or their appropriate surrogate are intended to be available indefinitely.

"Records" means all papers, maps, plans, photographic films and prints, microfilm or other micro formats, electronic data, audio and visual materials, and other documents, regardless of physical form or characteristics, which are produced, received, owned, used, or retained by a department in the regular course of transacting official County business.

"Reformatting" means to copy the content, structure, and context of records to another medium, whether analog or digital, in such a way that the copy may act as a satisfactory surrogate for the original. This requires meeting accepted national standards for particular processes and media.

"Responsible recordkeeping" is a generally accepted term that means creating, receiving, maintaining, and making available records in an efficient and cost-effective manner which conforms to all applicable statutes and regulations, supports business processes, and meets the responsibilities placed on public agencies to safeguard rights and ensure accountability.

"Retention period" means the length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

"Retention schedule" means a list of all categories of records produced or maintained by a department or agency, and the required and approved actions to be taken with regard to those records, including establishing their retention period.

"Temporary value" as applied to records means there is a termination or end point to the value of maintaining the records, and that they are intended to be disposed of at that point.

"Trusted system" means a combination of techniques, policies, and procedures within which there is no plausible scenario in which a document retrieved from or reproduced by that system could differ substantially from the document as originally stored.

Reference:
Minute Order 3.12 of 4/16/1991
Minute Order 3.4 of 1/28/2003
Minute Order 3.36 of 1/13/2004
Minute Order 3.8 of 6/8/2004
Minute Order 3.5 of 1/23/2007
Minute Order 3.8 of 2/5/2008
Minute Order 3.12 of 12/16/2008
Minute Order 3.6 of 07/21/2009
Minute Order 3.11 of 12/01/2009
Minute Order 3.19 of 04/20/2010

3.22 Attachment A58 – Riverside County Enterprise Security Policy

Subject:	**Policy Number:**	**Page**
Information Security Policy	A-58	1 of 1

It is the policy of Riverside County to protect Riverside County information in accordance with all applicable laws, governmental regulations and accepted best practices to minimize information security risk; ensuring the right information is available to the right people at the right time.

To achieve this goal, the Riverside County Board of Supervisors authorizes the Riverside County Chief Information Security Officer (CISO) to develop and maintain the Riverside County Information Security Program and requires all Riverside County Departments to comply.

The Information Security Program consists of the Program Framework, the Information Security Risk Management Methodology and Information Security Standards:

- The Program Framework defines the program's Vision, Mission and Roles & Responsibilities.

- The Information Security Risk Management Methodology defines the processes for assessing, accepting and mitigating information security risk.

- The Information Security Standards define the specific controls and processes required to mitigate information security risks. The Information Security Office (ISO) will develop Information Security Standards as necessary.

The Riverside County Chief Information Security Officer is further authorized to assist the state and federal governments in drafting security and privacy legislation to ensure that the best interests of the constituents of Riverside County are represented.

Reference:
Minute Order 3.39 of O712912003
Minute Order 3.7 of 11/0712006
Minute Order 3.33 of 04/07/2009
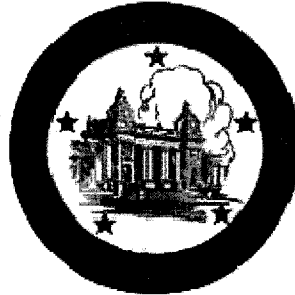
RIVERSIDE COUNTY
INFORMATION SECURITY
PROGRAM FRAMEWORK

Riverside County Information Security Program Framework
Page 2 of 4

PURPOSE
The purpose of the Riverside County Information Security Program Framework is to define the Vision, Mission and Roles & Responsibilities for Information Security Program.

VISION
The vision of the Information Security Program is that through appropriate information security risk management, Riverside County will reduce the chances of having an information security incident impact the delivery of service to its constituents.

MISSION
The mission of the Information Security Program is to ensure the right information is available to the right people at the right time.

SCOPE
The scope of the Information Security Program includes all Riverside County information assets.

AUDIENCE
The audience for this document includes all Riverside County personnel with roles listed herein.

TERMINOLOGY
Information Security Incident - The unauthorized modification of, denial of access to or disclosure of an information asset.

Information Asset - Information in any form, created or collected to support Riverside County operations.

Information Security Risk - The combination of the probability of an information security incident occurring and its impact to county finances or constituent confidence.

Information security Risk Management - The assessment, acceptance and mitigation of information security risk.

Riverside county Department - Any clearly defined functional body governed by the Riverside County Board of Supervisors. This includes but is not limited to Departments, Agencies and Commissions.

ROLES AND RESPONSIBILITIES

BOARD OF SUPERVISORS
The Board of supervisors is responsible for reviewing and ratifying the Information
Security Policy (A-58).

COUNTY EXECUTTVE OFFTCER (CEO)
The County Executive Officer acts as an agent of the Board of Supervisors to ensure that
administrative policies and programs are carried out by departments.

CHIEF INFORMATTON SECURTTY OFFICER (CISO)
The chief Information security officer is responsible for managing the Information
Security Program.

RIVERSIDE COUNTY DEPARTMENT HEAD
Department Heads are responsible for ensuring Departmental participation in the
Information Security Program and designating a Department Information Security
Officer.

DEPARTMENT INFORMATION SECURITY OFFTCER (DISO)
Department Information Security Officers are responsible for ensuring that processes
and standards developed by the Information Security Program are communicated and
implemented within their Department. The Department Information Security Officer
must report directly to either the Department Head or a Deputy Department Head. This
title is a designation not a human resources classification.

AUDITOR CONTROLLER
The Auditor Controller is responsible for including information security as a component of their audit plan. The Auditor
Controller will collaborate with the Information Security
Office on Issues related to compliance with the Information Security Program.

REVISION HISTORY

Change Date	Changed By (Name)	Revision #	Description of Changes	Approved By	Approval Date
03/16/09	Sebron	1.0	Published Document	Jack B. Miller	03/17/09
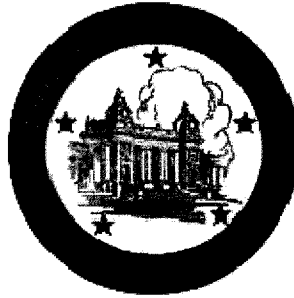
RIVERSIDE COUNTY
INFORMATION SECURITY RISK
MANAGEMENT METHODOLOGY

PURPOSE

The Riverside County Information Security Risk Management Methodology supports the Riverside County Information Security Program by defining processes for managing information security risk. This methodology defines how information security risks are assessed, accepted and/or mitigated.

SCOPE

The scope of the Information Security Risk Management Methodology includes all Riverside County Information assets.

AUDIENCE

The audience for this document includes all Riverside County personnel with roles listed herein.

TERMINOLOGY

Information Security Risk - The combination of the probability of an information security incident occurring and its impact to county finances or constituent confidence.

Information Asset - Information in any form, created or collected to support Riverside County operations.

Information Security Incident - The unauthorized modification of, denial of access to or disclosure of an information asset.

Gap Analysis - A gap analysis is a differential comparison between the required information security processes and standards and the actual implementation of controls. The gap analysis includes remediation plans for all identified gaps.

Vulnerability - An exposure that could result in an information security incident.

Threat - The intent and ability to cause an information security incident.

Mitigating control - other controls that reduce the ISIP associated with this particular gap.

Previously Accepted Risk - other accepted risks that may increase the overall risk associated with this particular gap.

Potential scenarios - Situations resulting from an information security incident arising from this particular gap.

Information Security Incident Probability (ISIP) - The likelihood of the occurrence of an information security incident. The ISIP is a combination of vulnerability and threat and is classified based on the following parameters.

	Highly Likely	Probable	Not Likely

Operational State - The operating state of the County when an incident occurs. For purposes of quantifying business impact the ISO has defined the following two categories:

- Business As Usual - standard day to day operating paradigm .
- Regional Disaster - circumstance where a significant number of business processes are impacted due to a regional event

Business Impact - The repercussions to the County's finances and/or constituent confidence if an information security incident occurs.

Business Impact Rating (BIR) - Logical grouping of business impacts based on the following parameters.

Constituent Confidence		
Severe	**Moderate**	**Minor**
Extensive Dissatisfaction	Moderate Dissatisfaction	Limited Dissatisfaction

County Finances		
Severe	**Moderate**	**Minor**
Monetary Loss Greater than $5,000,000	Monetary Loss between $1,000,000 and $5,000,000	Monetary Loss Less than $1,000,000

Riverside County Information Security Risk Management Methodology
Page 4 of 13

ROLES AND RESPONSIBILITIES

COUNTY EXECUTIVE OFFICER (CEO)
The County Executive Officer will escalate Information Security Risks to the Board of Supervisors as necessary.

CHIEF INFORMATION SECURTTY OFFICER (CISO)
All risk assessments must be submitted to the Chief Information Security Officer for validation and approval. CISO signatory approval is required for acceptance of all critical, high and medium level information security risks.

INFORMATION SECURITY OFFICE (ISO)
The Information Security Office will develop Information Security Standards to ensure Riverside County's Information Security Risk is appropriately mitigated and assists departments with implementing the Riverside County Risk Management Methodology.

DEPARTMENT HEAD
Department Heads are responsible for ensuring their departments comply with Riverside County's Information Security Risk Management Methodology. Requests to the CISO for acceptance of critical, high and medium information security risks must be submitted by the Department Head.

DEPARTMENT INFORMATTON SECURITY OFFICER (DISO)
The Department Information Security Officer is responsible for ensuring that a gap analysis is completed within 90 days of the release of new Information Security Standards. While the ISO is the only organization authorized to document formal information security risk assessments, the DISO is responsible for ensuring Risk Assessments are com

PROCESSES

RISK MITIGATION

Process Overview
The Risk Mitigation Process reduces Riverside County's information security risk to low through the development and implementation of Information Security Standards. Information Security Standards establish the minimum set of controls necessary to reduce the Information Security Incident Probability (ISIP) thereby reducing information security risk. If the controls required by an Information Security Standard will not be implemented, the Risk Assessment Process must be followed to accurately classify the level of risk and the Risk Acceptance Process must be followed to appropriately accept the risk.

RISK CLASSIFICATION MATRIX

Riverside County Information Security Risk Management Methodology
Page 6 of 13
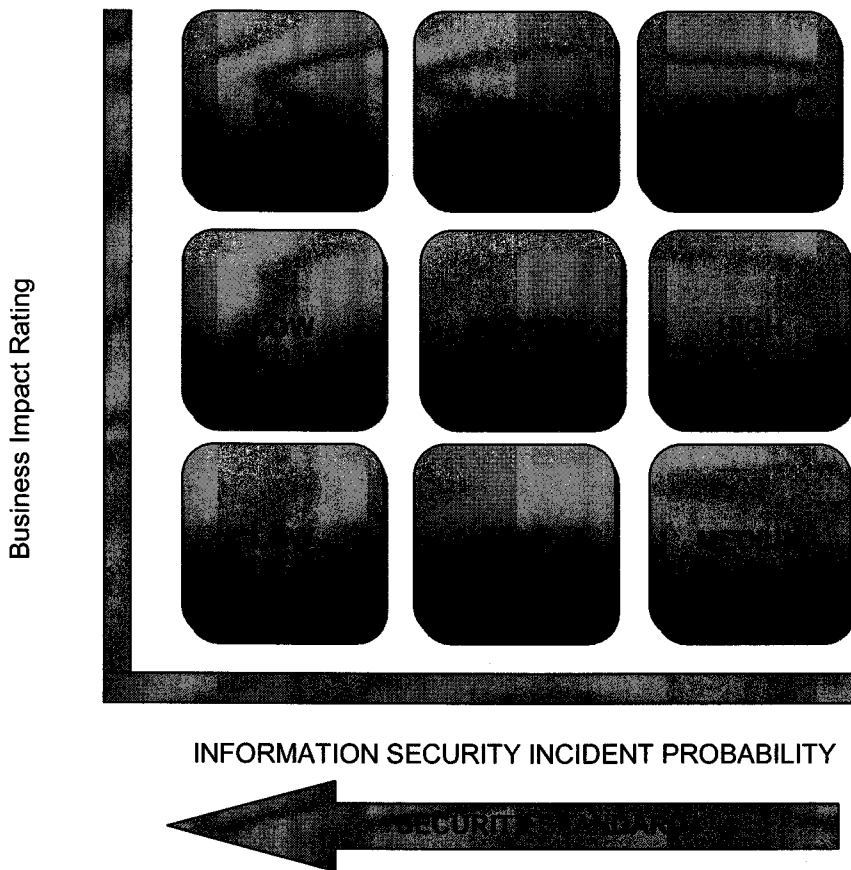
Process Activity

1. ISO will develop Information Security Standards based on information security best practices and regulatory requirements

2. Departments must complete a gap analysis within 90 days of the release of an Information Security Standard

3. ISO will provide Departments with gap analysis templates

4. Departments will provide the ISO with monthly status updates

5. Copies of the completed gap analysis must be provided to the ISO

6. Departments must engage the ISO to complete the Risk Assessment and Acceptance Processes for all identified gaps that will not be remediated

7. Departments must immediately contact the ISO if they determine that they will not be able to complete the gap analysis within the required 90 day timeframe

8. The Risk Assessment and Acceptance Processes must be followed if the gap analysis is going to exceed the 90 day timeframe

Process Flow

Risk Mitigation Process

Riverside County Information Security Risk Management Methodology
Page 7 of 13
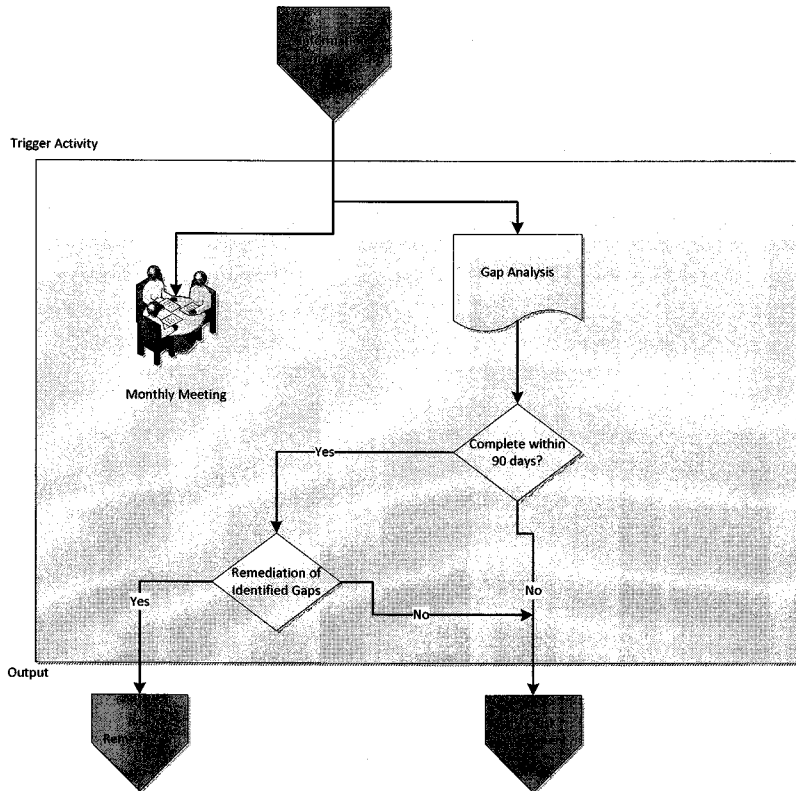
RISK ASSESSMENT

Process Overview

The Risk Assessment Process provides a consistent, systematic process to identify, analyze and classify risk. This systematic process must provide comparable and reproducible results. This process is triggered by the identification of a gap or the annual re-evaluation of accepted risk. The output of this process is classified risk. If classified risk will not be mitigated, the Risk Acceptance Process must be followed to ensure the risk is appropriately accepted. Only
the ISO is authorized to document formal information security risk assessments.

Process Activity
1. Identify information assets

2. Identify vulnerabilities associated with the area of non-conformance

3. Identify threats that could exploit identified vulnerabilities

4. Identify mitigating controls

5. Identify previously accepted risks
   - Review all currently accepted risks for the identified information assets in order to understand what, if any, relationship this risk may have with any accepted risks.

6. Identify Information Security Incident Probability (ISIP)
   - ISIP will be classified using the following criteria:

	High	Medium	Low
Probability	Highly Likely	Probable	Not Likely

   - The ISIP is based on a combination of the following factors:
     - Frequency of attempt - How often is this attack attempted?
     - Ease of exploit - How sophisticated is the attack?
     - Do likely attackers have the skills to execute the attacks?
     - Strength of controls - How vulnerable is the information asset? To what extent do the existing controls mitigate the risk?
     - Are there any currently accepted risks that:
       - Increase the frequency of attempt?
       - Increase the ease of exploit?
       - Reduce the strength of existing controls?
     - Would accepting this risk:
       - Increase the overall level of risk to the department or county?
       - Increase the risk of another currently accepted risk?
       - Increase the reliance on a specific control or set of controls?

7. Identify operational state
   - Business as usual
   - Regional disaster

8. Identify potential scenarios

9. Quantify business impact
   - Financial
   - Constituent confidence

10. Identify Business Impact Rating (BIR)
    - Identify the BIR of an incident. The highest level of identified business impacts must be used for this assessment. BIR is classified based on the following parameters.

Constituent Confidence		
Severe	Moderate	Minor
Extensive Dissatisfaction	Moderate Dissatisfaction	Limited Dissatisfaction

County Finances		
Severe	Moderate	Minor
Monetary Loss Greater than $5,000,000	Monetary Loss between $1,000,000 and $5,000,000	Monetary Loss Less than $1,000,000

11. Classify the risk according to the Risk Classification matrix.

RISK CLASSIFICATION MATRIX

Business Impact Rating

INFORMATION SECURITY INCIDENT PROBABILITY

SECURITY STANDARDS
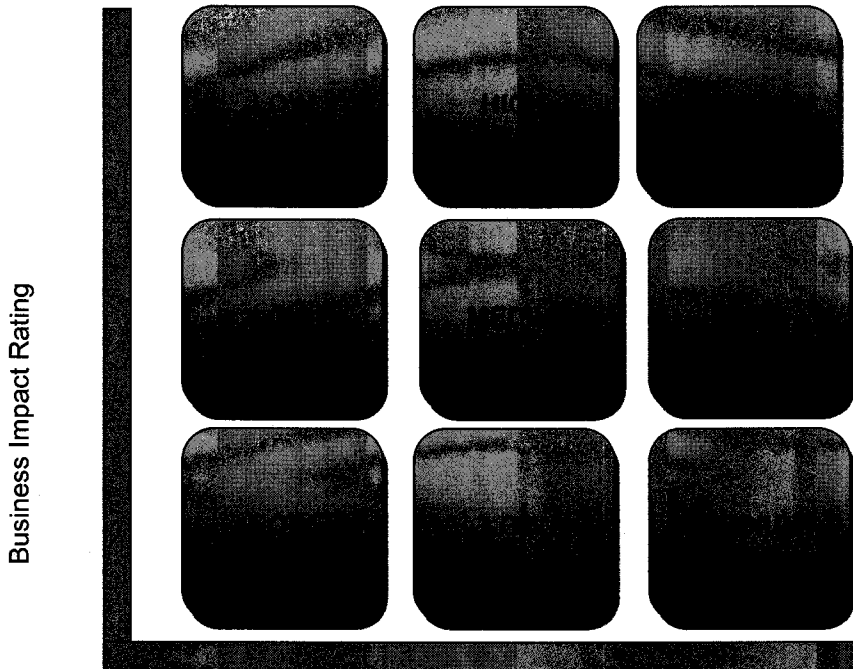
Riverside County Information Risk Management Methodology
Page 9 of 13

12. Risk Assessment completed by Departmental ISO Representative, and reviewed with DISO and submitted to the CISO for signoff.

13. Risk assessment signoff to be completed by the Chief Information Security Officer

Riverside County Information Security Risk Management Methodology
Pager 10 of 13

Risk Assessment Process

Trigger Activity

Identify Information Assets

Identify Vulnerabilities

Identify Threats

Identify Mitigating Controls

Identify Potential Previously Accepted Risks

Probability Factors
-Frequency of attempt
-Ease of exploit
-Strength of controls
-Currently accepted risks

Identify Probability

Identify Operational State

Identify Potential Scenarios

Identify Business Impact

Identify Business Impact Rating (BIR)

Classify Risk

Risk Assessment completed by the ISO

Risk Assessment signed off by DISO

Output

Classified Risk

Riverside County Information Security Risk Management Methodology
Page 11 of 13

RISK ACCEPTANCE

Process Overview
The Risk Acceptance Process provides a consistent, structured process to objectively accept information security risk in accordance with Riverside County's risk acceptance criteria. If the Chief Information Security Officer is unwilling to accept the classified risk, the Department will remediate the gap or implement other mitigating controls to reduce the risk to an acceptable level.

Process Activity
1. Acceptance requests submitted to the CISO by the Department Head on the Risk Acceptance Form.

2. ISO to validate the business impact as appropriate (Executive Office, Public Information Officer, Risk Management, County Counsel etc.)

3. Risk accepted
   - CISO will generate and distribute an executive report to the informed parties as identified in the Operational Risk Acceptance Table
   - All risk acceptances for critical and high risks will expire, by default, on an annual basis
   - At time of expiration, each risk must be re-assessed and re-accepted.

4. Risk not accepted
   - Department will remediate gap or implement other mitigating controls to reduce the risk to a level that Riverside County is willing to accept

Operational Risk Acceptance Table

Risk Classification	Authorized Acceptance	Informed Parties
CRITICAL RISK	CISO	Executive Office
HIGH RISK	CISO	Executive Office
MEDIUM RISK	CISO	Executive Office
LOW RISK	DEFAULT ACCEPTANCE	Not Applicable

Riverside County Information Security Risk Management Methodology
Page 12 of 13

PROCESS FLOW
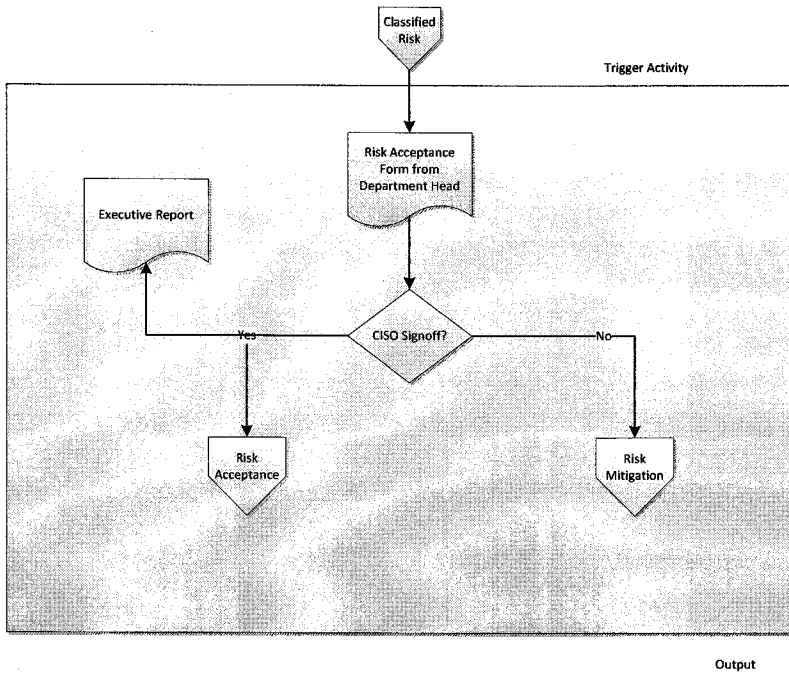
REFERENCE SECTION

N/A

REVISION HISTORY

Change Date	Changed By (Name)	Revision	Description of Changes	Approved By	Approval Date
03/16/09	Sebron	1.0	Published Document	Jack B. Miller	03/17/09

County of Riverside Information Security Risk Management Methodology
Page 13 of 13

3.23 Attachment A68 – Riverside County Trusted System Policy

Subject:	Policy Number	Page
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION	A-68	1 of 17

Purpose
Authority
Applicability
Policy
A. Responsibility of Department Heads
B. Prohibited Destruction of Certain Official Records
C. Official Record Storage Using Electronic Technologies
    1. Electronic Content Management System (ECMS)
    2. Existing Departmental ECMS
    3. Implementation of New ECMS
D. Departmental Compliance
    1. Trusted System Requirements
    2. Additional Requirements Pursuant to Other Applicable Law
E. Procedural Standards for Official Electronic Records
    1. Business Practices Procedures
    2. Quality Control for Scanning and Indexing
    3. Departmental Records Retention Schedule Requirement
    4. Accessibility of Official Electronic Records
    5. Suspending Deletion of Official Electronic Record
F. Technological Standards for Official Electronic Records
    1. Two Separate Official Electronic Records
    2. Image File Formats for Converted Official Records
    3. Document Image Compression
    4. Image Quality Requirement
    5. Sufficient Data Storage Capacity
    6. Data Migration
    7. Vendor Written Certification
G. Administrative Standards for Official Electronic Records
    1. Cost/Benefits Analysis
    2. ECMS Technology Procurements
    3. Standard Forms
    4. Departmental Cooperation with RMAP
    5. Departmental Records Personnel
    6. Custodian of Official Electronic Records
    7. Training on Trusted System
    8. Audits
H. Assessment Team
    1. Evaluation of Departmental ECMS
    2. Assessment Report on Trusted System
I. Conditions for Destruction of Official Records
    1. Destruction Is Not Prohibited by Law

Subject:	Policy Number	Page
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION	A-68	2 of 17

2. Assessment Report on Trusted System
3. Department Head Ensures Compliance
4. Board Approval and Resolution
5. Updated Departmental Records Retention Schedule
J. Requirements for Submittals to the Board of Supervisors
1. Departmental Submittal for Board Approval and Resolution
2. Departmental Notice to RMAP with Documentations
3. RMAP Submittal of Updated Departmental Records Retention Schedule
4. Concurrent Submittals to the Board of Supervisors
K. Definitions
1. AIIM
2. AIIM ARP1-2009
3. Board Policy A-43
4. ECMS
5. Electronically originated documents
6. Electronic documents
7. ISO
8. Official records
9. Official electronic records
10. PDF/A
11. RCIT
12. RMAP
13. Trusted system requirements
Attachment A

Purpose
The Board of Supervisors recognizes the need to establish uniform countywide standards to ensure that official records of the County of Riverside, when maintained electronically, complies with the trusted system requirements, are true and accurate representations of the original information, and remain accessible for the duration of the records' applicable retention period.

Authority
This policy is adopted in consideration of the provisions of Government Code sections 26205 and 26205.1; Government Code section 12168.7 pertaining to standards for recording permanent and nonpermanent documents in electronic media and trusted system; and Board Policy A-43 pertaining to County Records Management and Archives Policy, including Section C.7 (standards on electronic format).

Subject:	Policy Number	Page
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION	**A-68**	**3 of 17**

Government Code sections 26205 and 26205.1 allows the Board of Supervisors, at the request of a County officer, to authorize the destruction of any official record that is not expressly required to be filed and preserved if the official record is electronically recorded on a trusted system that does not permit additions, deletions, or changes to the original record images, is produced in compliance with Government Code section 12168.7, accurately reproduces the original record, and is conveniently accessible.

Applicability

This policy regarding trustworthy official electronic record preservation applies to County departments that:
1. Create or store electronic documents as the official records of the County;
2. Intend on destroying the original hardcopy and maintaining the electronic documents as the official records of the County; or
3. Maintain electronically originated documents as the official records of the County.

Such departments shall comply with this policy and implement or exceed the minimum standards established herein.

Policy

A. Responsibility of Department Heads

It is the responsibility of department heads to ensure their departmental ECMS is a trusted system and departmental compliance with the trusted system requirements, this policy and the associated departmental procedures on trusted system, and Board Policy A-43.
For purpose of this policy, "trusted system" means a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored and is further defined in Section 5.3.3 of AIIM ARP1-2009.

B. Prohibited Destruction of Certain Official Records

Departments shall not destroy: (i) official records that are expressly required by law to be filed and preserved; and/or (ii) official records that are required by law to be retained in hardcopy format. This policy shall not be construed to allow a department to maintain such official records electronically in place of the original hardcopy.

Subject:
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION

**Policy
Number**   **Page**
A-68   4 of 17

C. Official Record Storage Using Electronic Technologies

1. <u>Electronic Content Management System</u>
   Electronic Content Management System ("ECMS") means any electronic technology implemented by the department to create, store, manage and/or reproduce official electronic records, and includes, without limitations, the electronic technologies identified in Section K.4 of this policy.

2. <u>Existing Departmental ECMS</u>

   A department that has an existing Electronic Content Management System in place prior to the effective date of this policy must:

   a. Ensure its ECMS is evaluated by the Assessment Team to the greatest extent technologically and procedurally possible in order to ensure that official electronic records are stored in a trusted system;

   b. Comply with this policy as soon as practicable;

   c. Secure, as soon as practicable, the Board of Supervisors' approval on trusted system.

3. <u>Implementation of New ECMS</u>

   A department that implements a new Electronic Content Management System on or after the effective date of this policy must:

   a. Ensure its ECMS is designed in accordance with Section 6.2 of AIIM ARP1-2009;

   b. Comply with this policy.

   c. Secure the Board of Supervisor's approval on trusted system.

D. Departmental Compliance

1. Trusted System Requirements

A department that maintains official electronic records in its departmental ECMS must:

a. Ensure the ECMS is a trusted system that does not permit additions, deletions, or changes to the original official records.

b. Produce the official electronic records in compliance with the trusted system requirements, as defined in Section K.13 of this policy.

c. Use ECMS technology that accurately reproduces the original official records in all details and does not permit additions, deletions, or changes to the original official record images.

d. Ensure that the official electronic records in the ECMS is conveniently accessible and ensure provision is made for preserving, examining and using such records for the duration of the records' applicable retention period.

e. Separately maintain a duplicate copy of the official electronic records contained in the ECMS that does not permit additions, deletions, or changes to the original record images.

2. Additional Requirements Pursuant to Other Applicable Law

If the official records and/or official electronic records of the department are subject to additional requirements pursuant to other applicable law, department must ensure compliance with such additional requirements.

E. Procedural Standards for Official Electronic Records

1. Business Practices Procedures

a. Department must develop and implement departmental procedures documenting its business practices on the creation, management and storage of official electronic records in a trusted system that are consistent with this policy and in conformance with Section 6.17 of AIIM ARP1-2009.

b. Before implementing its ECMS, department must prepare its business practices procedures on trusted system. Such business practices procedures shall include the following information:

(i) Description of how original hardcopy of official records will be scanned, indexed, and verified;

(ii) Description of how the ECMS will be secured from unauthorized access;

Subject:
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION

**Policy
Number**   **Page**
A-68   6 of 17

(iii) Description of how official electronic records will be secured from unauthorized modification or alteration;

(iv) Description of how authorized modification of official electronic records will be managed, including audit trail information and ability to retrieve any previous version required to be maintained.

(v) Description of how notes and annotations (if any) will be stored and managed, if they are part of the official electronic records;

(vi) Description of how this policy and the departmental procedures on trusted system will be followed;

(vii) Description of how the ECMS will adhere to Board Policy A-43, County General Records Retention Schedule and Board-approved Departmental Records Retention Schedule.

(viii) Description of how functional roles of departmental personnel are separated to ensure error checking.

c. Department must update its departmental procedures on trusted system to reflect any modifications of its ECMS. Such departmental procedures, when updated, must clearly state when the modifications took effect and what areas were affected.

d. Department shall require all personnel using departmental ECMS to follow this policy and its departmental procedures on trusted system.

2. Quality Control for Scanning and Indexing

To ensure quality control for scanning and indexing official records, department shall require all personnel performing scanning and indexing to:

a. Check and validate the complete scanning and indexing process;
b. Facilitate the re-scanning and indexing process;
c. Verify readability of each page or each document;
d. Verify proper indexing of each document;
e. Verify accurate page counts for each document; and
f. Verify accurate security for each document.

Subject:
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION

**Policy
Number**   **Page**
A-68   **7 of 17**

3. <u>Departmental Records Retention Schedule Requirement</u>

Department must evaluate its current recordkeeping as follows:

a. Conduct an inventory of the official records of each division and section;
b. Identify all disposable official records pursuant to the applicable records retention schedules;
c. Identify all official records to be retained pursuant to the applicable records retention schedules; and
d. Destroy any backlog of outdated non-records.

Unless all official records of the department are subject to County General Records Retention Schedule, the department must secure the Board of Supervisor's approval of its Departmental Records Retention Schedule in accordance with Board Policy A-43.

4. <u>Accessibility of Official Electronic Records</u>

a. Official electronic records are subject to the records' applicable retention periods as provided in the County General Records Retention Schedule and/or the Board-approved Departmental Records Retention Schedule.

b. Department must ensure that official electronic records maintained in its departmental ECMS remain conveniently accessible during the records' applicable retention period.

5. <u>Suspending Deletion of Official Electronic Records</u>

Official electronic records that are scheduled to be deleted pursuant to the records' retention period shall be suspended by the department if:

a. The department receives notice of pending litigation, reasonably anticipated litigation, an audit, or records request prior to the expiration of such records' retention period; and

b. Such official electronic records are relevant to the litigation, audit or records request.

The deletion of such official electronic records will be suspended until the final resolution of the litigation, audit and/or records request.

F. Technological Standards for Official Electronic Records

1. Two Separate Official Electronic Records

Department must ensure at least two (2) separate official electronic records are created in the departmental ECMS that meets all of the conditions of a trusted system as identified in Section 5.3.3 of AIIM ARP1-2009, including:

a. *Prevent Unauthorized Modification.* The ECMS must utilize both Hardware and media storage methodologies to prevent unauthorized additions, modifications or deletions during the official electronic record's retention period.

b. *Verifiable Through Independent Audit.* The ECMS must be verifiable through independent audit processes ensuring that there is no plausible way for the official electronic record to be modified, altered, or deleted during such record's retention period.

c. *Stored in a Safe and Separate Location.* The ECMS must write at least one copy of the official electronic record into electronic media that does not permit unauthorized additions, deletions, or changes to the original and that is to be stored and maintained in a safe and separate location.

Department must ensure every official electronic record maintained in the departmental ECMS is considered to be a true and accurate copy of the original information received.

2. Image File Formats for Converted Official Records

a. Department must use industry standard (non-proprietary) image file formats for all official records that are scanned or otherwise converted into electronic format. Industry standard image file formats include JPEG, JBIG, JPEG 2000, or PDF-A.

b. If PDF/A is chosen as the image file format for long-term storage of official electronic records, department must follow ISO Standard 19005-1:2005 Part 1.

c. The use of any other image file format not specified herein is prohibited, unless the department obtains the vendor's certification or RCIT's verification pursuant to Section F.7 of this policy that such image file format is industry standard (non-proprietary) and complies with Section 5.4.1.4 of AIIM ARP1-2009

3. Document Image Compression

Department must use image compression/decompression that supports ITU Group 4, LZW, JPEG, JPEG 2000, or JBIG. The use of any other image compression technology not specified herein is prohibited, unless the department obtains the vendor's certification or RCIT's verification pursuant to Section F.7 of this policy that such technology:

a. Supports output format standards with no proprietary alterations of the algorithms;
b. Does not include extraneous information unsupported by relevant industry standards; and
c. Complies with Section 5.4.2.4 of AIIM ARP1-2009.

4. Image Quality Requirement

Department must use minimum scanning resolution of 300 dots per inch (dpi) to ensure image quality for official electronic records.

5. Sufficient Data Storage Capacity

Department must ensure the data storage capacity of its ECMS is sufficient for accurate reproduction of the official electronic records.

6. Data Migration

a. Department must make every effort to ensure its ECMS employs an open systems (industry standard or non-proprietary) architecture that will allow County to migrate official electronic records to new platforms as ECMS technology advances.

b. Prior to the implementation of data migration, department must create a specific migration plan to integrate official electronic records from older to newer Hardware and software platforms to ensure proper integration without adversely affecting the official electronic records managed by the older ECMS technology.

7. Vendor Certification or RCIT Verification

Department must obtain the vendor's written certification that its ECMS technology is in compliance with the applicable technological standards of Section F of this policy. However, a department with an existing ECMS prior to the effective date of this policy may obtain RCIT's written verification in lieu of the vendor's written certification.

G. Administrative Standards for Official Electronic Records

1. Cost/Benefits Analysis

   Prior to investing in new ECMS technology, the department must conduct a cost/benefits analysis to ensure that such ECMS will reduce records personnel and storage costs and allow official records to be managed more productively.

2. ECMS Technology Procurements

   Prior to selecting an ECMS technology vendor, department must develop a request for proposal document that:

   a. Requires vendors to certify in writing their technology is in compliance with the applicable technological standards of Section F of this policy; and

   b. Contains sufficient information regarding specific requirements of the ECMS technology and departmental expectations to enable vendors to clearly understand the business and technical goals and operational requirements of the department and to ensure the ECMS technology achieves anticipated results.

3. Standard Forms

   a. RMAP, in consultation with Executive Office and County Counsel, shall develop, as appropriate, standard forms to facilitate the implementation of this policy, including vendor's certification and RCIT's verification. RMAP shall further consult RCIT regarding any standard forms that relate to the technology standards of this policy.

   b. Departments shall utilize standard forms that are developed by RMAP pursuant to this Section G.3. RMAP shall make such standard forms available to departments upon request.

4. Departmental Cooperation with RMAP

   Departments shall cooperate with RMAP to meet the intent of this policy.

5. Departmental Records Personnel

   Department head shall designate records personnel to enforce and monitor compliance with this policy and the departmental procedures on trusted system.

6. <u>Custodian of Official Electronic Records</u>

    a. To ensure County official electronic records are admissible evidence, department head shall designate a custodian of official electronic records to authenticate the official electronic records that are maintained in the departmental ECMS.

    b. The custodian of official electronic records shall be sufficiently knowledgeable about the departmental ECMS (including how official electronic records are collected and assembled), trusted system, this policy and the associated departmental procedures on trusted system.

7. <u>Training on Trusted System</u>

    Records personnel, with the following responsibilities, must attend training conducted by the Office of Secretary of State or a seminar sponsored by AIIM or the State of California on trusted system:

    a. Designing departmental ECMS;
    b. Enforcing this policy or the departmental procedures on trusted system; and
    c. Designated as the departmental custodian of official electronic records.

8. <u>Audits</u>

    Within two (2) years after the most recent prior audit or evaluation of the departmental ECMS as a trusted system, department head shall ensure the departmental ECMS is audited by the Internal Audit Division of the County Auditor-Controller's Office and RCIT to verify there is no plausible way for the official electronic records to be modified, altered, or deleted during such records' retention period. Such audit must also be conducted whenever significant modifications are made to the departmental ECMS.

    The Internal Audits Division of the County Auditor-Controller's Office will make determinations relevant to the department's trusted systems documentation and procedures with regard to the departmental ECMS. RCIT will make determinations relevant to the technology employed to ensure that there is no technological means of unauthorized modification to an official record stored within the ECMS.

    If the result of the audit is a finding indicating a deficiency in the departmental ECMS that would place in doubt the integrity of the documents stored, then the department

must suspend the destruction of the official records in hard copy format until a positive finding is released.

If a department is not audited on its two-year cycle for any reason, the department may choose to secure an audit from an agency outside of the County. If so, a copy of the audit must be provided to the ACO Internal Audit Division, RCIT and RMAP.

H. Assessment Team

1. Evaluation of Departmental ECMS

Assessment Team means an external auditing entity retained by a department to evaluate its departmental ECMS to the greatest extent technological and procedurally possible in order to ensure that official electronic records are stored in a trusted system. The Assessment Team must be sufficiently knowledgeable about the trusted system requirements.

The Assessment Team will evaluate departmental ECMS for compliance with the trusted system requirements, this policy and the departmental procedures on trusted system.

2. Assessment Report on Trusted System

The Assessment Team shall prepare an Assessment Report on its evaluation of the departmental ECMS as a trusted system. The Assessment Report shall include:

a. Findings on departmental compliance and/or deficiency with respect to the trusted system requirements, this policy and the departmental procedures on trusted system.

b. Where appropriate, recommendations of improvements in departmental procedural and administrative practices.

c. Where appropriate, recommendations of improvements in technical implementations.

d. Where applicable, findings on departmental corrections of any deficiencies and/or implementations of recommended improvements.

e. Determinations on whether two (2) separate official electronic records are created in the departmental ECMS that meets all of the conditions of a trusted system as identified in Section 5.3.3 of AIIM ARP1-2009 and Section F.1 of this policy

Subject:
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION

f. Determinations on whether the official electronic records maintained in the departmental ECMS are considered to be true and accurate copy of the original information received.

I. Conditions for Destruction of Official Records

Department head with custody of departmental official records may cause the original hardcopy of such official records to be destroyed and maintain such official records electronically in its departmental ECMS only if all of the following conditions are satisfied:

1. Destruction Is Not Prohibited by Law

The official records are not expressly required by law to be file and preserved, and/or required by law to be retained in hardcopy format.

2. Assessment Report on Trusted System

The Assessment Team determined in its Assessment Report that:

a. At least two (2) separate official electronic records are created in the departmental ECMS meeting all of the conditions of a trusted system; and

b. The official electronic records maintained in the departmental ECMS are considered to be true and accurate copies of the original information received.

3. Department Head Ensures Compliance

Department head ensures departmental ECMS is a trusted system, and departmental compliance with the trusted system requirements, this policy and the departmental procedures on trusted system, and Board Policy A-43.

4. Board Approval and Resolution

Department head secured the Board of Supervisors' approval of departmental ECMS as a trusted system, and a resolution adopted by the Board of Supervisors pursuant to Government Code section 26205.1(a) authorizing the department head to destroy the original hardcopy and maintain the official records electronically in the departmental ECMS.

5. Updated Departmental Records Retention Schedule

The Departmental Records Retention Schedule is updated by RMAP in accordance with the Board of Supervisors' resolution described in Paragraph 4 above, and approved by the Board of Supervisors.

The conditions set forth in Paragraphs 1 through 3 above must first be satisfied before the department head may secure the necessary approval and resolution from the Board of Supervisors pursuant to Paragraph 4. Submittals to the Board of Supervisors under Paragraphs 4 and 5 must be concurrent.

J. Requirements for Submittals to the Board of Supervisors

1. Departmental Submittal for Board Approval and Resolution

To secure Board approval and resolution pursuant to Section I.4, department head must submit to the Board of Supervisors a fully executed Form 11 in conjunction with the following documents:

a. The Assessment Report on trusted system as described in Section I.2.

b. Proposed resolution that satisfies all conditions set forth in Section I and substantially conforms with Attachment A, Template Resolution.

2. Departmental Notice to RMAP with Documentation

Departments intending to secure Board approval and resolution pursuant to Section I.5 shall notify RMAP utilizing a notification form developed by RMAP and provide RMAP with a copy of the Assessment Report on trusted system and departmental proposed resolution.

3. RMAP Submittal of Updated Departmental Records Retention Schedule

Pursuant to Section D.9 of Board Policy A-43, all proposed and updated department records retention schedule shall be submitted on behalf of the departments by RMAP to the Board of Supervisors for approval.

RMAP may, as it determines appropriate, update the departmental records retention schedule in accordance with the departmental proposed resolution, or alternatively, confer with the department to resolve any Issues.

4. Concurrent Submittals to the Board of Supervisors

	Policy	
Subject:	**Number**	**Page**
TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION	**A-68**	**15 of 17**

Department shall coordinate with RMAP to ensure that the departmental submittal for Board approval and resolution under Section J.2 is concurrent with the updated departmental records retention schedule submitted by RMAP on behalf of the department under Section J.4.

K. Definitions

As used in this Policy, the following definitions shall apply:

1. "AIIM" means the Association for Information and Image Management.

2. "AIIM ARP1-2009" refers to the AIIM ARP1-2009 Analysis, Selection, and Implementation of Electronic Document Management Systems approved on June 5, 2009. AIIM ARP1-2009 may be downloaded directly from AIIM at www.aiim.org/standards, or from the California Secretary of State at www.sos.ca.gov/archives/local-gov-program.

3. "Board Policy A-43" means Board of Supervisors' Policy A-43 entitled Records Management and Archives Policy.

4. ECMS, includes, but is not limited to, the following electronic technologies:

   a. Document imaging technologies that are used to convert hardcopy into electronic format;

   b. Document or library services technologies that are used to manage electronically originated documents;

   c. Business process management or workflow technologies that are used to automate work processes including the creation, routing, tracking, and management of information being processed;

   d. Enterprise report management technologies that are used to store electronic formatted reports;

   e. Forms processing technologies that are used to incorporate interactive forms and manage related forms data;

   f. Optical character recognition or intelligent character recognition technologies; and

g. Various applications also considered as add-ons such as records management applications, legacy systems and integration tools.

5. "Electronically originated documents" includes any document or record created without first having originated in hardcopy format. It includes all documents or records generated through electronic submissions.

6. "Electronic documents" means electronically originated documents or hardcopy documents or records that have been scanned or otherwise converted into electronic format.

7. "ISO" means the International Organization for Standardization. ISO documents referred to in this policy may be purchased from AIIM at www.aiim.org/standards.

8. "Official records" shall include official documents or official records that are: (i) defined as such in applicable statutes and in the business practices of County departments that are responsible for retaining said documents or records; (ii) identified in County General Records Retention Schedule; or (iii) identified in the Board of Supervisors' approved departmental records retention schedules.

9. "Official electronic records" are electronic documents that are created or stored by County departments as the official records of the County.

10. "PDF/A" means Portable Document Format/Archive, which is an electronic file format whereby documents are self-contained allowing them to be reproduced with all of the document coding embedded within the file.

11. "RCIT" means Riverside County Information Technology.

12. "RMAP" means Riverside County Records Management and Archives Program.

13. "Trusted system requirements" means the following requirements:

a. Government Code sections 26205 and 26205.1.

b. Government Code section 12168.7, including but not limited to the minimum standards or guidelines, or both, as recommended by the American National Standards Institute or AIIM for recording of permanent records or nonpermanent records.

c. The following sections of AIIM ARP1-2009:

Subject:

Policy

Number **Page**

TRUSTWORTHY OFFICIAL ELECTRONIC RECORDS PRESERVATION **A-68** **17 of 17**

        (i) Section 5.3.3 – Trusted system and legal considerations;

        (ii) Section 5.4.1.4 – Image formats;

        (iii) Section 5.4.2.4 – Document image compression;

        (iv) Section 6.2 – Recommended project steps; and

        (v) Section 6.17 – Business practices documentation.

d. The concepts contained in ISO 15801 on Electronic Imaging – Information stored electronically – Recommendations for trustworthiness and reliability.

e. The concepts contained in ISO 15489, Part 1 governing Information and documentation – Records management.

f. ISO 19005-1:2005, Part 1 governing Use of PDF 1.4 (PDF/A-1), only if PDF/A is chosen as the image file format for long-term storage.

3.24 Attachment D1 - Riverside County Travel Policy

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	1 of 10

Policy:

1. Scope

This policy establishes procedures and standards for reimbursement of necessary actual expenses incurred by appointed department heads, employees, and other authorized persons, for whom allowance of expenses is authorized by or pursuant to law, resolution, or ordinance because they occur during performance of official county business. The Board of Supervisors and elective constitutional officers as well as their employees are exempt from this portion of the Board policy. This policy also specifies the types of occurrences that qualify a member of the Board of Supervisors to receive reimbursement for expenses relating to travel, meals, lodging, and other actual and necessary expenses in accordance with Government Code Section 53232.2(b). The Board of Supervisors, elective constitutional officers and each department head is charged with the responsibility of authorizing travel and including it in the proposed budget and ensuring such expenditures are within the approved budget.

The Auditor-Controller shall refer to the Executive Officer any reimbursement claim that is considered to not be in conformance with Board policy. The Executive Officer shall have the authority to approve the payment of any claim if there is lack of certainty regarding the application of Board policy to the questioned claim, or if the action of the department head was not unreasonable in light of all the circumstances. If the Executive Officer denies approval, the department head may place the matter on the agenda of the Board of Supervisors for final disposition.

Board of Supervisors

Members of the Board of Supervisors shall be allowed their actual expenses in going to, attendance at, and returning from state association meetings and their actual and necessary traveling expenses when traveling outside of the county on official business pursuant to Government Code Section 25008. Members of the Board of Supervisors may receive reimbursement for expenses relating to travel, meals, lodging, and other actual and necessary expenses incurred in the performance of official duties. Reimbursement for such expenses is subject to the provisions of this policy and California Government Code Sections 53232.2 and 53232.3. In accordance with Government Code section 53232.2(c), the Internal Revenue Service rates for reimbursement of travel, meals, lodging, and other actual and necessary expenses as established in Publication 463, or any successor publication, shall be used to determine reimbursement rates for members of the Board of Supervisors. Types of occurrences that qualify a legislative body member to receive reimbursement of expenses relating to travel, meals, lodging and other actual and necessary expenses include the following:

COUNTY OF RIVERSIDE, CALIFORNIA

BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	2 of 10

1. Communicating with representatives of regional, state and national government on policy positions adopted by the Board of Supervisors;

2. Attending educational seminars designed to improve officials' skill and information levels;

3. Participating in regional, state, and national organizations whose activities affect the county's interests;

4. Attending county events;

5. Implementing a county-approved strategy for attracting or retaining businesses to the county, which will typically involve at least one staff member and;

6. Attending meetings for which a meeting stipend is expressly authorized.

In accordance with Government Code Section 53232.2(f), all expenses that do not fall within this policy shall be considered for approval by the Board of Supervisors prior to incurring the expense, unless the expense involves a meeting in which a member of the Board of Supervisors is required to make a public report (see section 12). All expenses must be verified by a valid original receipt, as required by Government Code Section 53232.3(c), which includes the name of the vendor (e.g. hotel, restaurant) date of service and actual amount charged.

Members of the Board of Supervisors and elective constitutional officers, as well as their employees, shall be exempt from Sections 2 through and including 10 of this Board Policy.

2. Lodging

Actual cost for lodging, not to exceed $159 per night inclusive of all occupancy and accommodation taxes and other room related taxes and fees, is allowed provided such cost is reasonable for the location and is consistent with government and/or conference/convention rates, if available, or usual charges established for the general public. For lodging in high cost cities as defined by the Internal Revenue Service (e.g., San Francisco, New York, Washington D.C.) or by the Board of Supervisors (Sacramento) actual cost not to exceed $239 per night is allowed. Lodging costs exceeding the established limit may be reimbursed at a higher rate if a written statement explaining the reason for the expense is submitted by the department head to the designated Executive Office analyst along with a completed

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	3 of 10

employee reimbursement form. Lodging costs shall not exceed the maximum group rate published by the conference or activity sponsor, provided that lodging at the group rate is available to the member of a legislative body at the time of the booking. Higher rates based upon late registration or negligence by the department head in making an early reservation will be reimbursed at the $159 rate.

An employee reimbursement claim for lodging must provide an explanation of the business purpose of the stay and be supported by a receipt/facility folio.

A government rate, if available, should be requested when booking a room (county employees should be prepared to provide proof of employment with the county). Only the single occupancy rate may be claimed for the reimbursement except when two or more county employees participating in the same function share a room; then a double occupancy rate may be claimed by dividing the cost between two claim forms and providing a memorandum explaining the shared room along with the lodging folio.

The department head may approve extended lodging if the cost is less than daily travel expenses without the extended stay. Approval of extended lodging for any location in Riverside, Orange, San Diego, Imperial, Los Angeles and San Bernardino counties is required prior to the travel occurrence and must be less costly than a daily commute.

3. Meal Expenses

Actual (not to exceed maximum, see below) cost shall be allowed for meals related to attendance at conventions, scheduled meetings, conferences, seminars, special assignments or an assignment **that requires an overnight stay. A meal/s during attendance at any single day event will not be reimbursed.**

a. The maximum reimbursement for meals is $10, $15, and $25 for breakfast, lunch and dinner respectively, inclusive of taxes and tip. Tips in excess of 20% of the cost of a meal will not be reimbursed. Tips made at fast food restaurants and/or convenience stores will not be reimbursed even if the meal cost is less than the maximum reimbursement rate (e.g. meal at $6.00, tip $1.20 equals a reimbursement of $7.20).

    The maximum reimbursement for meals in high cost cities (as described in item 2 above) is $15, $20, and $30 for breakfast, lunch and dinner respectively, inclusive of taxes and tip.

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	4 of 10

b.   An employee reimbursement claim is based on actual (not to exceed maximum) cost. Meal maximums may not be aggregated to create a daily maximum.

c.   Reimbursement for meals may exceed the maximum amounts for breakfast, lunch, or dinner only if the meal is organized by a non-county entity where the established price of the meal includes facility, speaker, or other costs and is a required portion of the meeting and/or conference. A written statement explaining the necessity for incurring such expense and supporting documentation (e.g. flyer, agenda or brochure) must be submitted with the employee reimbursement claim.

d.   Where the cost of a meal is included as part of a registration charge or fee, no additional employee reimbursement may be claimed for that meal.

e.   For same day travel, expenses for meals are limited to activities outside normal work duties. No reimbursement for meals will be made for same day travel. Reimbursement for a meal is provided when it is not reasonable for employees to provide their own meal. Special situations may be considered on a case-by-case basis. A memo from the employee to the department head is required and the department head's concurrence must be noted before the memo is forwarded to the designated Executive Office analyst for review and approval.

f.   Travel to a temporary worksite does not qualify an employee for meal reimbursement.

f.   No reimbursement shall be made for alcoholic beverages of any kind.

g.   Employees attending training or conferences for an extended period of time, more than seven consecutive days, may elect to purchase groceries and prepare their meals during the training/conference. In this event, grocery receipts are to be retained and submitted for reimbursement. Grocery charges exceeding the maximum daily per meal cost will not be reimbursed. An employee electing to purchase and prepare food during an extended stay may purchase only food to be consumed during the designated period; no reimbursement will be made for incidentals including kitchen utensils, cookware, kitchen supplies and sundries.

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	5 of 10

4. Transportation

Actual cost of common carrier services, including taxicabs and car rentals, when necessary shall be allowed. Departments are to utilize on-line travel services and secure the least expensive flights and car rental arrangements possible. Upon request from the Auditor/Controller supporting documentation that the flights and car reservations made were the least expensive option available is to be provided by the department. Travel in business class, first class or any category on any flight above the coach/economy level is allowable if (1) the traveler pays the cost difference or (2) the department can document that no other option exists and the selected flight is the only option for travel. Reservations for air transportation should be booked as early as is reasonable to take advantage of lower cost air fares. Airline government and group rates must be used when available.

Claims for payment or employee reimbursement shall be accompanied by a receipt for the purchase and a copy of the ticket purchased or other voucher for common carrier expense. Flight insurance is covered in Policy D-5.

5. Rental Cars

The county maintains a contract with a vehicle rental company and every effort should be made to use the contract company. If available, a county issued corporate rental vehicle card or Purchasing Card (P-card) shall be used for all travel requiring the use of a rental vehicle when the contract company cannot be used. Government and group rates must be used when available. Actual costs evidenced by an original, dated receipt and inclusive of all related taxes and other rental fees should be submitted along with actual gas receipts (dated, vendor name printed on the receipt) obtained for the purchase of gas for the rental vehicle.

The rental vehicle may include a global positioning system if said equipment is standard; only standard equipment is allowed and no rental car reimbursement will be made for cars above the mid-range size unless four or more employees are traveling in the same vehicle and this information is documented in the reimbursement information.

If a county issued corporate card is unavailable, the county requires employees to purchase the Loss Damage Waiver (LDW) so the employee is not held responsible for damage (under normal circumstances) to the rental vehicle and such cost will be reimbursed. However, the county will not reimburse employees for the cost of other optional insurance. (e.g. liability, uninsured/underinsured motorist, personal

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	6 of 10

accident & personal effects), as the county is self-insured for vehicle liability & third party physical damage and provides worker's compensation coverage.

Employees are required to notify Human Resources, Risk Management Division at (951) 955-3540 and the employee's supervisor as soon as possible (within 24 hours) of any event, incident or accident related to the rental car. The employee must complete "County Vehicle Accident/Incident Report," Form 942-6 (Safety Division form).

6. Private Automobile

Reimbursement for use of a private vehicle shall be allowed upon authorization of the department head, Executive Officer, or the Board of Supervisors. The county's private vehicle mileage reimbursement rate is the same rate as the Internal Revenue Service (IRS) standard mileage rate for private vehicles and will be effective concurrently with IRS' periodic establishment of such a rate.

If an employee is required to use the employee's personal vehicle while in the course and scope of employment, the employee must, prior to using said vehicle, do the following:

A. Complete the "Authorization to Drive Riverside County Vehicle or Private Vehicle for County Business," Form 30, authorizing the employee to use a personal vehicle which must be approved by the department head. Each department shall confirm that each employee with an approved Form 30 has a valid driver's license.

B. Insure the vehicle to the minimum limits required by the State of California, or if registered/licensed out of state, equal to or greater than the limits required by the State of California. In addition, employees must have their policies of automobile liability insurance endorsed to reflect business use. Such insurance must be maintained at all times while the individual is employed in a position where it is required or may be required to use a personal vehicle while in the course and scope of employment. In the event of an incident or accident, the county does not assume responsibility for any physical damage to an employee's personal vehicle. The department head is responsible for verifying that an employee authorized to drive a personal vehicle is insured in compliance with requirements of the State of California.

C. Maintain a valid driver's license, which is appropriate for the class of vehicle to be operated. If any restrictions apply, the employee must notify his/her supervisor of the restrictions and/or any and all changes in the license (i.e. suspended, etc.).

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	7 of 10

The use of motorcycles, mopeds, and similar types of vehicles for the conduct of county business is expressly prohibited, with the exception of Sheriff's Department sworn personnel on duty in a specific assignment.

When a department head authorizes use of a private vehicle for the convenience of the driver, instead of more economical travel by air, reimbursement shall not exceed the cost of usual airfare.

Employees are required to notify Human Resources, Risk Management Division's representative, and the employee's supervisor as soon as possible (within 24 hours) of any incident or accident. Employees must complete "County Vehicle Accident/Incident Report," Form 942-6 (Safety Division form).

7. **Private Aircraft**
   The use of private aircraft for the conduct of county business is expressly prohibited unless prior authorization is given by the Board of Supervisors.

8. **Miscellaneous Expenses**
   Miscellaneous expenses, including charges for business telephone calls, fax service, e-mail services, telegrams, the cost of usual or necessary services and supplies, including emergency repairs, parts or towing for county vehicles, conference registration fees, vehicle parking, bridge tolls, and any other justifiable business expenses shall be allowed if they represent a valid business need.

   A satisfactory explanation of the circumstances is required for these expenditures. An employee reimbursement for actual miscellaneous expenses shall be accompanied by an original receipt or other original voucher. Personal telephone calls and personal internet usage are not reimbursed.

9. **Special Provisions for County Employees on Indefinite Assignments**
   When approved by the department head and Executive Officer or designee, employees assigned indefinitely (for periods of 90 days or more) out of town are provided the following compensation options:

   A. Standard reimbursements as provided herein (or limited by program provisions); or

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	8 of 10

B. Commuter compensation model:

Meals:	$ 50 per day or portion thereof in travel status
Lodging:	$1,500 per month (prorated at $50.00 per day)
Transportation Allowance:	$ 600 per month (Parking, Car Rental, etc.):

Under the commuter compensation model, no receipts or records are required by the county. However, the employee must substantiate deductible expenses on his/her personal tax return.

No tax deduction is allowed by IRS if the assignment is expected to exceed one year. The "commuter compensation model" will be grossed up by a factor of 20% to recognize this tax impact for employees whose assignments are expected to exceed one year.

C. Relocation model – reimbursement for relocation is found in Board Policy H-20.

10. Travel Authorization
Reimbursement for travel expenses requires prior authorization as follows:

A. By County Executive Officer or designee:
All travel wherein the estimated total cost (including registration, transportation, lodging, and meals) is not included in the approved budget, or is expected to cost $1,000 or more per person or if the travel is out of state. Prior approval for travel estimated as costing more than $1,000 or travel out of state is required even if the travel was anticipated and approved in the department's budget.

Each request should be in the form of a memorandum that details costs to be incurred and substantiates the need for said travel. Attendance must be required for purposes of maintaining a professional license, participation in professional activities which benefit the County of Riverside and not solely for the purpose of professional enhancement or to collect an award. Funding availability for the proposed travel is not a guarantee that the travel will be approved. The travel must provide a clear benefit to the County of Riverside.

Exception: extraditions, travel that involves the health/safety/security of a minor, and/or an individual 60 or more years of age or any individual who is the victim of domestic violence.

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	9 of 10

B. By Department Head:
   All travel wherein the estimated total cost (including registration, transportation, lodging and meals) is less than $1,000 per person. This travel should also be requested on an email prepared by the employee and outlining all anticipated expenditures. If the travel involves participation at a conference or training venue the proposed agenda should be included. The memorandum should explicitly detail how the proposed travel benefits Riverside County.

   The Department Head's approval is an indication that the travel is included in the approved departmental budget. If the travel is not in the approved budget the Department Head should make a recommendation and forward the memo to the designated analyst in the Executive Office.

C. Format:
   All approved travel should be noted on a per trip basis in a memorandum signed by either the County Executive Officer/designee or the department head as delineated in A. and B. above. A copy of the signed memorandum should be attached to any requests for payment of travel expenses, including Form 14 which follows.

11. Use of Claim Form
The employee expense claim must be filed on a form approved by the county, and must include date, business destination, amount, and business purpose. Claims shall be filed promptly, no later than the end of the month following the month in which the travel and/or other necessary expenses occurred. Claims filed after this time will not be considered for payment. Commuter compensation model will be processed as additional pay, and no other form will be required.

Original receipts are required for reimbursement. Original receipts must include the name of the establishment where service was provided and the date on which the service was rendered. Restaurant receipts must include the items ordered as well as the total payment made. All claim forms and associated documents related to reimbursable county expenditures are considered public records, are subject to disclosure under the California Public Records Act {Chapter 3.5 (Commencing with Section 6250) of Division 7 Title 1}. (Form 14 attached).

12. Reports
Per California Government Code Section 53232.3 subparagraph (d), legislative body members are required to provide brief reports on meetings attended at the

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:	Policy Number	Page
REIMBURSEMENT FOR GENERAL TRAVEL AND OTHER ACTUAL AND NECESSARY EXPENSES	D-1	10 of 10

expense of the county at the next regularly scheduled meeting of the legislative body.

13. Penalties

Penalties for the misuse of public resources or falsifying expense reports in violation of expense reporting policies may include, but not be limited to, the penalties specified in Government Code section 53232.4.

Reference:
Minute Order dated 01/21/75
Minute Order 3.3 of 04/29/97
Minute Order 3.3 of 10/16/01
Minute Order 3.8 of 04/08/03
Minute Order 3.7b of 05/02/06
Minute Order 3.3 of 04/10/07
Minute Order 3.2 of 07/21/09
Minute Order 3.7 of 09/15/09
Minute Order 3.9 of 08/10/10

3.25 Attachment GRS – ACR General Records Retention Schedule

County of Riverside, California
General Records Retention Schedule
(GRRS_2012_Rev07)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
P.O. Box 751
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Countywide General Records Retention Schedule (GRRS) is adopted as per the recommendations of Board Policy A-43 and supersedes the General Records Retention Schedule (GRRS_2011_Rev06) adopted on July 12, 2011.

This schedule is written with general titles and descriptions rather than identifying specific, individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by a County agency before disposition may be implemented. These retention requirements are recommended as the appropriate maximum retention period enabling the County to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including departmental copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by a department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a lawful claim or a lawsuit is made against the county of Riverside, the department will suspend destruction of the subject records until all Issues of the matter are resolved. Further, if the department is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the department will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

The department will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. The department is responsible for ascertaining the correct date of closure in

order to establish this ten (10) year retention period. Furthermore, the department is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

Explanation of Fields

Records Series Codes: The Records Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Records Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Records Series Title: The Records Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Records Series Description: A description of the Records Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Copy of Record: The copy of the record is the official copy. The schedule indicates the office or department responsible for maintaining this official copy for the retention period indicated. This copy must be maintained in an accessible and readable format.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

AU = After Audit is settled

Audit Support = Records are not required by

statute or regulation to be held for the period indicated, but should be maintained to support records submitted in support of the County's internal or external auditing procedures.

AV = Retailed as long as Administratively Valuable

Best Practice = Best Practice determined through

CFR = Code of Federal Regulations

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, etc. A record is considered "closed" when no further action is pending or required.

CR = Creation (of the record) date

CU = Current

FY = Fiscal year end

GC = California Government Code

P = Permanent

PC = California Penal Code

R & TC = California Revenue and Tax Code

REV = (Until) Revised or superseded

business and government agency benchmarks.

CCP = California Code of Civil Procedure

CY = Calendar year end

EPPA = Employee Polygraph Protection Act (1988)

T = Termination (of employment, or use, i.e. of a product or piece of equipment within the County, of a benefit or plan)

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: **All Departments**	Schedule Type: **General Records Retention Schedule (GRRS)**
Division: **All Divisions**	Schedule #:
Section: **All Sections**	**GRRS_2012_REV07**

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	Title	Description				
Accounting (ACC)						
ACC100	Accounts Payable	Records documenting payment required to be made for goods and services. May include claims, credit card transactions, invoices, petty cash records, refunds, vouchers and warrants.	Auditor Controller & Dept.	FY + 7	GC 26907; Best Practice	Shred / Delete
ACC150	Accounts Receivable	Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advices, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets.	Auditor Controller & Dept.	FY + 7	GC 26907; Best Practice	Shred / Delete
ACC200	Banking	Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, canceled checks for minor transactions, negotiated checks, returned checks, and check registers.	Auditor Controller & Dept.	FY + 7	GC 26907; Best Practice	Shred / Delete
ACC250	Capital (Fixed) Assets	Records related to the financial activities associated with capital (fixed) assets. May include inventories, material transfer files (surplus forms) and sale records.	Auditor Controller & Dept.	Disposal of Asset + 7	GC 24051(b); Best Practice	Shred / Delete
ACC300	General Ledger	Contains the accounts needed to reflect the financial position of the government.	Auditor Controller & Dept.	P	Best Practice	County Archives
ACC325	Official County Receipts	Official receipts issued to departments by the Auditor-Controller's Office.	Auditor Controller & Dept.	FY + 7	GC 26907.2; GC 27001; Best Practice	Shred / Delete

ACC350	Payroll	Records created to track the payroll of department employees. Records indicate anniversary dates, vacation and sick leave accumulations, hours worked, labor and overhead distribution reports and PEOPLESOFT reports.	Auditor Controller & Dept.	T + 75	Audit support; see also 29 CFR 516.5(a)	Shred / Delete
ACC400	Payroll - garnishments	Records related to garnishments from a County employees pay. May include accounting documents and orders.	Auditor Controller & Dept.	T + 75	Audit support; see also 29 CFR 516.6(c); Best Practice	Shred / Delete
ACC450	Transaction Summaries	Journals, registers, and subsidiary ledgers dedicated to individual funds or functions. May include accounts payable & receivable, expenditures, investments, properties and revenue, cash disbursements, cash receipts, vouchers and warrants.	Auditor Controller & Dept.	FY + 7	GC 26907; Best Practice	Shred / Delete
Administration (ADM)						
ADM100	Annual Reports - official copy	The official yearly report made by a department or agency at the close of the fiscal year stating the department's assets and liabilities and providing an overview of the department's services and programs. Typically submitted to the Board of Supervisors using a submittal Form 11 (see entry for Submittal to the Board of Supervisors below) thereby making it part of the minutes for the meeting at which it is presented.	Dept.	P	Best Practice	County Archives (3 copies)
ADM125	Annual Reports - work papers	Working papers used to develop the department's annual report.	Dept.	CY + 2	GC 26202	Shred / Delete
ADM150	Audit Reports - Management	Any audit of a department's or agency's managerial operations that is ordered by the Board of Supervisors or Executive Office.	Dept.	P	Best Practice	County Archives
ADM155	Authorization to Drive County Vehicle or Private Vehicle on County Business (Form 30)	Form signed by each County employee authorizing them to drive County or personal vehicles on County business. Department is to maintain one copy while the original is forwarded to County Human Resources Safety Division.	County Human Resources	CY + 5	8 CCR 3203(b)(2)	Shred / Delete

ADM175	Boards and Commissions	Record of items submitted to and decisions made by the Board of Supervisors as well as governing bodies and commissions subject to the provisions of the Brown Act. May include meeting agendas, minutes, exhibits, and staff reports as relevant to the outcome of the proceedings. May include ordinances and resolutions. Should also include lists of names of members of official Boards, Committees, and Commissions.	Clerk of the Board, subject body or supporting County department.	P	GC 25102 et seq; GC 54950 et seq; Board of Supervisors' Policy A-21	Clerk of the Board (GC 25104)
ADM200	Conflict of Interest Statement - Department Head	Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 and its amendments related to the economic interests of County representatives.	Clerk of the Board	Original (COB) = CY + 7; Copy (Dept) = CY + 4	GC 81009(e); GC 81009(f)	Shred / Delete
ADM205	Conflict of Interest Statement - Designated Employees	Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 and its amendments related to the economic interests of County employees as designated by resolution of the County Board of Supervisors.	Dept.	Original = CY + 7; Copy = CY + 4	GC 81009(e); GC 81009(f)	Shred / Delete
ADM210	Conflict of Interest Statement - Elected Official	Statements filed (Form 700, formerly Form 730) pursuant to the California Political Reform Act of 1974 (Section 87200) and its amendments related to the economic interests of County elected officials.	County Clerk	Original (State) = CY + 7; Copy (Clerk) = CY + 4	GC 81009(e); GC 81009(f)	Shred / Delete
ADM275	Correspondence - general	Routine correspondence issued from or received by a department that requires no further action. Records may include correspondence, memoranda (memos), notes, and acknowledgements.	Dept.	CY + 2	GC 26202	Shred / Delete
ADM300	Correspondence - program	Correspondence issued from or received by a department that documents specific program activity, which is not historical or policy in nature. Records may include correspondence, subject records, memoranda (memos), notes, and facsimiles.	Dept.	CL + 2	GC 26202	Shred / Delete
ADM310	Correspondence - public complaints	Correspondence issued from or received by a department that relates to a concern or complaint of the public. Records series may include correspondence, related memoranda and notes.	Dept.	CL + 2	GC 26202	Shred / Delete
ADM325	Correspondence - public policy	Records that document and support the implementation of a particular policy or program such as land development, changes to County Code, procedure or organization, new taxes, etc.	Dept.	P	Best Practice	County Archives
ADM350	Daily Activity Reports (DARs)	Reports of employee time use in relation to specific tasks or projects. Often prepared in support of daily operations and appropriations. For example, may be used as a basis for billing department or agencies or for general planning purposes.	Dept.	FY + 7	Best Practice	Shred / Delete
ADM375	Grand Jury Reports - official copy	The official report issued by and responses to a County grand jury completed after studying the operations of any public agency subject to its reviewing authority. The County Clerk holds the Copy of Record with another copy provided to the State Archivist both of which are held permanently.	County Clerk	P	PC 933(b-c)	County Clerk (PC 933(b))
ADM400	Grand Jury Reports - work papers	Departmental copies of reports issued by and responses to the County grand jury completed after studying the operations of any public agency subject to its reviewing authority. Departmental copies may not be held longer then the copy on file with the currently impaneled grand jury, which has a mandated retention of at least five years.	Dept.	CY + 5	PC 933(c)	County Archives
ADM425	Grants	Records related to the application, award, implementation and conclusion of a grant. All records including those related to the receipt and dispersal of grants funds, contract and reports. Grant records should be maintained together. Records may include the proposal document, correspondence, activity summary reports, financial and performance reports, memos, notes, invoices, billings, expense reports, completion check-off form, audit results, etc.	Dept.	CL + 7	49 CFR 18.42(b); audit support and as required by the terms of the grant; Best Practice	Shred / Delete
ADM450	Policy & Procedure - Boards and Commissions	Records documenting the policies and procedures approved for the County's Board of Supervisors and various committees and commissions. May include final policy, policy statements, by-laws and procedure manuals.	Clerk of the Board, subject body or supporting County department.	P	Best Practice	County Archives

ADM475	Policy & Procedure - departmental	Records documenting departmental policy and procedure. May include final policy, policy statements, procedure manual. May also include mission statements and organizational charts.	Dept.	REV + 3	Best Practice	County Archives
ADM480	Policy & Procedure - program	Records documenting the policies and procedures governing the operations of Countywide public and/or County employee programs. May include final policy, policy statements, by-laws, and procedure manuals.	Dept. responsible for implementing	REV + 3	Best Practice	County Archives
ADM500	Public Information / Media	Records created for distribution announcing matters related to county business or administrative operations. May include press releases, newsletters, slides, negatives, video, photographs, etc. Photographic (image) records should include full identification (dates, names, places and occasion) for each image.	Dept.	REV + 2	GC 26202	County Archives
ADM505	Public Records Requests	Records distributed to the public in response to a public records request. Records series includes the original request, the department response and a copy of the records provided if applicable.	Dept.	CY + 2	GC 26202	Shred / Delete
ADM525	Recordings of Public Meetings	Audio or video recordings of the official proceedings of a public body subject to the Brown Act. See ADM175 above. Audio or video recordings of the proceedings of the Board of Supervisors are held by the Clerk of the Board in accordance with the Clerk of the Board's records retention schedule.	The subject body or supporting County department.	After minutes are written but no less than 30 days	GC 54953.5 (b)	County Archives
ADM575	Records Disposition Certificates	Certificates authorizing and confirming the destruction of records once eligible and as defined on the appropriate records retention schedule. Records series may also include authorized signature lists.	Dept. and ACR-RMAP	P	CSA and Best Practice	Dept. and ACR-RMAP
ADM600	Records Retention Schedule	An approved records retention schedule that furnishes public agencies with clear legal authority to determine final disposition of their records regardless of their format.	Dept.	REV + 2	GC 26202	Shred / Delete
ADM610	Records Transfer List	A form listing the records sent off-site for storage. This form contains information related to the contents of containers and links the contents to a container barcode for tracking and reference purposes.	Dept and ACR-RMAP	Destruction of all listed containers + 2	GC 26202	Shred / Delete
ADM615	Resolutions	Resolutions submitted to and approved by the Board of Supervisors. Records series includes, at minimum, the Minute Order, complete text of the Resolution and any supporting documentation.	Initiating Dept and Clerk of the Board	P	GC 25102; Best Practice	Dept and Clerk of the Board
ADM625	Submittal to the Board of Supervisors (Form 11s)	Items submitted for consideration to the Board of Supervisors, including records of proceedings and written descriptions of business conducted. May include annual reports, grand jury reports, and management reports.	Clerk of the Board	P	GC 25102	Clerk of the Board (GC 25104)
FIN100	Audit reports	Record of the examination of county finances as prepared by internal or external auditors. May include financial reports and statements showing the status of all county funds and the narrative audit report.	Auditor Controller	P	Best Practice	County Archives
FIN150	Bids - accepted	Record of accepted submissions offered by a vendor or contractor selling goods or services to the County. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI).	Dept.	Termination of Contract + 7	Best Practice	Shred / Delete
FIN200	Bids - rejected	Record of submissions offered by a vendor or contractor selling goods or services to the County other than the one that is accepted. May include bid (plus spreadsheet and award letter), proposal, request for quotation (RFQ), request for proposal (RFP) and request for information (RFI).	Dept.	FY + 2	GC 26202.1	Shred / Delete
FIN250	Budgets - approved	The budget document formally approved for the County by the Board of Supervisors. This includes the original budget along with its Form 11 initially adopted and any authorized modifications to it through the end of the fiscal year.	Clerk of the Board; Auditor Controller	P	GC 25102	County Archives

FIN300	Budgets - supporting papers	Departmental reference copies of the approved County budget as well as the work papers used to compile the annual budget request. Maintained as audit support. May include submissions and appeals in addition to budget manuals, spreadsheets, statistics, County Auditor Controller directives, other data accumulated in the budget development, submission and presentation process.	Dept.	FY + 7	Audit Support; Best Practice	Shred / Delete
FIN350	Financial reports - annual	Financial reports produced for a single fiscal year in order to monitor spending, workflow, performance measures and other department operations. May include monthly revenue & expenditure reports, annual fixed asset ledgers, and appropriation transfers.	Auditor Controller	FY + 7	GC 26907; Best Practice	Shred / Delete
FIN400	Purchasing Records	Records created to document the purchases and payments for supplies, equipment and services. May include official copy of purchase order, purchase requisitions (requests), purchasing contracts, payment authorizations, receipts/packing slips.	Dept.	CL + 7	GC 26907 See also GC 25501.5; Best Practice	Shred / Delete
FIN450	Purchasing Source Documents	Records related to the purchase or acquisition of minor goods or services. May include catalogs, receiving documents and vendor literature.	Dept.	FY + 2	GC 26202	Shred / Delete
HSA100	Emergency Action and Fire Prevention Plans	Plans for evacuation of agency facilities in cases of emergency and plans to prevent fires. Records series may include fire drill action plans and safety checklists.	Dept. and County Human Resources	REV + 1	29 CFR 1910.38-.39; Best Practice	Shred / Delete
HSA125	Fire Extinguisher Records	Records related to the inspection and maintenance of fire extinguishers. Records belonging to this series will be made available to the Assistance Secretary of Cal/OSHA upon request.	Dept. and County Human Resources	CU + 1	29 CFR 1910.157	Shred / Delete
HSA150	Fire Orders	Orders issued by the Fire Marshal to correct deficiencies in compliance with the fire code.	Dept. and County Human Resources	CL + 3	Best Practice	Shred / Delete

HSA200	First Aid Records	Records documenting one-time first aid treatment and subsequent observation of minor illnesses and injuries if made onsite by a non-physician and maintained separately from the employee medical records.	Dept. Human Resources	T + 3	29 CFR 1910.1020 (d 1)(i-B)	Shred / Delete
HSA250	Hazard Communication Plans	Records related to the approved procedures for the effective communication of workplace hazards, including container labeling and other forms of warning, material safety data sheets and employee training, that are developed in compliance with OSHA 29 CFR 1910.1200.	Dept. and County Human Resources	REV + 5	Best Practice	Shred / Delete
HSA300	Hazardous Exposure Records	Records related to employee exposure to toxic substances or harmful physical agents. May include accident reports, allegations of employee exposure, audiometric test records, damage reports, employee medical records, environmental permits, environmental monitoring methodologies, calculations and results, biological monitoring results and chemical inventories or other records that indicate where and when a toxic substance or harmful physical agent was in use.	Dept. and County Human Resources	40 years or T + 20, whichever is longer	29 CFR 1910.1020 et seq. (OSHA);	Shred / Delete
HSA350	Injury and Illness Prevention Program	Records related to the steps taken to implement and maintain the Injury and Illness Prevention Program. Includes records of schedules and periodic inspections required by Cal/OSHA and the actions taken to correct unsafe conditions and records documenting required safety and health training. Also includes documentation of safety training for all employees including who attended and the topic discussed. May also include Safety Committee meeting records including issues discussed at meetings and results of investigation reviews.	Dept. and County Human Resources	CY + 3	8 CCR 3203(b)(1-2) & (c); County of Riverside IIPP Standard	Shred / Delete
HSA400	Injury and Illness Reports	Records related to reporting and documentation of employee injury or illness. Records may include the Cal/OSHA logs and summary forms [300, 300A and 301], decompression sickness incidents, dive team medical records, log of occupational injury or illness resulting in medical care. NOTE: In January 2002, Cal/OSHA replaced Form 200 with Forms 300, 300A and 301.	Dept. and County Human Resources	CY + 5	29 CFR 1904.33; 8 CCR 14300.33	Shred / Delete

HSA450	Material Safety Data Sheets (MSDS)	MSDS issued by manufacturers. Records series also includes correspondence related to procedures for submission of these forms to the Safety Office and MSDS indexes.	County Human Resources	T + 30	29 CFR 1910.1020 (d)(1)(ii)(B)	Shred / Delete
LEG100	Contracts / Agreements - general	The binding agreement to provide goods or services including employment, but excluding those for land, buildings or major improvements. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes.	Three copies: Clerk of the Board, Initiating Department and Purchasing Services	CL + 7	Best Practice	Shred / Delete
LEG150	Contracts / Agreements - government	The binding agreement between a County department and another government agency to provide goods or services. May include the original contract or agreement, all change orders and any amendments thereto. May also include accounting records, procurement documentation, and salary administration. May also include working files if they relate to negotiations or changes.	Three copies: Clerk of the Board, Initiating Department and Purchasing Services	CL + 7	48 CFR 4.805*	Shred / Delete
LEG200	Contract / Agreements - capital improvements	The binding agreement related to major improvements to County buildings or land. May include the original contract or agreement and any amendments thereto. May also include working files if they relate to negotiations or changes and compliance.	Three copies: Clerk of the Board, Initiating Department and Purchasing Services	CL + 10	CCP 337.15(a)	Shred / Delete
LEG250	Insurance Policies - liability (personnel)	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 30	29 CFR 1910.1020	Shred / Delete
LEG300	Insurance Policies - liability (property)	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	T + 10	CCP 337.15(a)	Shred / Delete
LEG350	Insurance Policies - non-liability	A written agreement stating the obligations and responsibilities of each contracting party.	Human Resources	CL + 3	Best Practice	Shred / Delete
LEG400	Leases - excluding real property	Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto.	Dept.	CL + 3	Best Practice	Shred / Delete
LEG450	Leases - real property	Documentation of rental agreements, capital leases, operational lease/purchase agreements or any other similar agreement and the amendments thereto.	Dept.	CL + 4	CCP 337.2	Shred / Delete
LEG500	Legislative Liaison Records	Records documenting the progress of legislation of particular interest to a department. May include copies and drafts, correspondence, testimony, as well as background and research material.	Dept.	Until passed, failed or dropped by department + 2	GC 26202	Shred / Delete
LEG550	Litigation Records	Records related to legal correspondence, pleadings and copies of court records. Records series may include transcripts, notices, interrogatories and depositions.	Dept.	CL + 10	CCP 1952.3; Best Practice	Shred / Delete
LEG600	Public Hearings Records	The official record of any public hearing where a forum for citizens or constituent group may voice opinions and concerns to public officials. These hearings are held separately from a regular or special meeting of a Board, Committee or Commission. May include agenda, minutes, submitted and/or distributed materials, transcripts, speaker sign up, written testimony, and official notices.	Clerk of the Board, subject body or supporting County department.	P	Best Practice	County Archives
LEG700	Subpoenas and Subpoenas Duces Tecum - challenged	Records related to subpoenas or subpoenas duces tecum received by a County department where the department has challenged the requirement to comply. Records series pertains only to those subpoenas where the County is not a party to the litigation.	Dept.	Resolution + 2	Best Practice	Shred / Delete

LEG750	Subpoenas and Subpoenas Duces Tecum - record of compliance	Records related to subpoenas and subpoenas duces tecum received by a County department where the department has fully complied. Records series pertains only to those subpoenas where the County is not a party to the litigation.	Dept.	Compliance + 2	Best Practice	Shred / Delete
Office Ma... (OFM)						
OFM100	Equipment	Records related to the maintenance, repair and inventory of County leased or owned equipment and vehicles. May include equipment calibration records, maintenance records, motor vehicle records and surplus forms.	Dept.	end of lease or ownership + 7	GC 24051; Best Practice	Shred / Delete
OFM150	Facilities	Records related to the maintenance, repair and inventory of County owned property. May include maintenance work orders and repair reports.	Dept.	end of lease or ownership + 7	GC 24051; Best Practice	Shred / Delete
OFM200	Returned Mail	Mail returned to sender as undeliverable. This series does not include cases where proof of attempt to notify may be required.	Dept.	CY + 2	GC 26202	Shred / Delete
OFM225	Security Access Records	Records related to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instructions of access to agency facilities, equipment or automated systems.	Dept.	T + 2	GC 26202	Shred / Delete
OFM250	Telephone Call Logs	Formal logs of incoming and outgoing telephone calls.	Dept.	FY + 3	Best Practice	Shred / Delete
OFM300	Telephone Messages	Relevant notes documenting calls received that pertain to department activities.	Dept.	CY + 2	GC 26202	Shred / Delete
OFM325	Vehicle Usage Reports	Records related to the use of County vehicles by County employees on County business. Records include mileage reports that contain the name of the employee utilizing the county vehicle, the date(s) the vehicle was used by the employee, the purpose of the trip and the starting and ending mileage.	Dept.	FY + 7	Board of Supervisors' Policy D-2; Audit Support	Shred / Delete
OFM350	Visitor Registration	Visitor logs, registers, or similar records documenting visitor access to limited access or restricted areas of agency facilities.	Dept.	CY + 3	Best Practice	Shred / Delete
OFM400	Work Orders - originator copies	Work requests for maintenance services performed on County vehicles, equipment or property.	Dept.	CY + 2	Best Practice	Shred / Delete
Personnel records w... Group require... ...ruction						
PER100	Application and Selection Records	Includes notes of interviews with candidates, questions asked of applicants, and audio and videotapes of job interviews. Records series may include any form of employment inquiry submitted to the employer in response to an advertisement or other notice of existing or anticipated job openings, background checks and disclosure, records pertaining to the failure to hire any individual, medical and psychological disqualifications, polygraph results, resumes, test papers and test results.	Dept. and County Human Resources	Successful: place in Personnel File; Unsuccessful: CR + 3	29 CFR 1627.3; 29 CFR 801.30 (EPPA); see also 29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete
PER150	Complaints / Grievances	Records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Includes documentation of employee grievances, charges related to discrimination or harassment including those filed under or by EEOC/DFEH, County C-25 Harassment, Public Employment Relations Board (PERB), or a violation of Meyers-Millas-Brown Act. May also include an action brought by the Commission or the Attorney General against an employer under title VII.	County Human Resources	CL + 3	29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete
PER200	Corrective or Disciplinary Actions - Supervisors' copies	Supervisors' reference copies of records documenting the prevention and/or resolution of problems involving individuals and related to work situations. Records may include arbitration decisions, demotions, documents pertaining to the action taken for reconsideration or appeal, employee discipline matters, investigation reports, notice of appeals, notice of discipline, records pertaining to adverse job actions, suspensions, terminations and written reprimands.	Dept.	CR + 2	29 CFR 1602.31; Best Practice	Shred / Delete
PER250	Employee Expense (Travel) Reports	Records related to employee travel on County business including justification. May include correspondence, requests, authorizations, itineraries, record of travel advances and expense reports.	Auditor Controller	FY + 7	Audit Support; Best Practice	Shred / Delete

PER300	Leave of Absence Reports / Requests	Records related to any employee request for leave of absence. May include a leave of absence (medical or non-medical) under the Family Medical Leave Act (FMLA), California Family Rights Act (CFRA) or Pregnancy Disability Leave Act (PDL). May also include requests for educational leave, military leave - The Uniformed Services Employment and Reemployment Rights Act (USERRA), California Military Spouse Leave Law (AB392). Series includes reviews, medical certificates and working documents.	County Human Resources	CL + 7	Best Practice	Shred / Delete
PER350	Leave Reports / Requests	Records related to employee requests for annual leave, vacation, holiday, comp, or sick leave under County rules. May include approvals or reports for leave time unrelated to requests under the Family Medical Leave Act, California Family Rights Act or Pregnancy Disability Leave Act.	Dept. Human Resources	FY + 3	29 CFR 825.500; 29 CFR 1602.30; 29 CFR 1602.32	Shred / Delete
PER375	Medical Records - Employees	Records concerning the health status of an employee which is made or maintained by a physician, nurse, or other health care personnel. Records series may include dates of treatment, evaluations, medical health questionnaires or history, medical record subpoenas, return to work paperwork, and/or treatment plan diagnosis.	Dept. and County Human Resources	T + 30	8 CCR 3204(d)(1)(a) and 3204c (5); 29 CFR 1910.1020(d) (i) and 1910.1030(h	Shred / Delete
PER400	Personnel Files	Records documenting an employee's employment history. Records may include appointment letters, college transcripts, demotion, disciplinary notices or documents, employment applications & verifications, exit interviews, layoff, letters of recognition, new hire paperwork, performance evaluations, permanent status letter, personal data information changes, position descriptions, promotions, recall, or discharge, rates of pay, reclassification or reassignment, resume, selection for training, termination paperwork including last date of service, test documents if used as a basis for employment decision. Files may also contain employee-related records that are scheduled for temporary retention. Personnel files are kept current by removing temporary records upon expiration of the retention periods specified.	Dept. and County Human Resources	T + 75	Best Practice	Shred / Delete

PER410	Personnel Files - Supervisor's Copy	Supervisor's copy of records documenting an employee's work history from one evaluation to the next. Records may include relevant correspondence including email, copies of disciplinary actions, memoranda and notes. The information is maintained and used to complete the employee's annual evaluation.	Dept.	Completion of employee's annual evaluation + 1	Best Practice	Shred / Delete
PER450	Personnel Service Awards & Certifications	Records documenting employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related policies pertaining to agency-sponsored awards. May include awards or certifications from other government agencies or private organizations.	Dept.	CY + 2	29 CFR 1602.31	Shred / Delete
PER500	Policies & Procedures - Personnel	Records related to any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency. Includes list of current County services, description of employee benefits, description of facilities, employee handbook, employee resources, employee services, operational procedures, union recognition and work schedules.	Dept. and County Human Resources	REV + 3	GC 26202	Shred / Delete
PER550	Time Cards and Time Sheets	Record and verification of the time worked by each employee for purposes of issuing salary warrants. Includes documentation supporting work schedules and shift/crew assignments as well as authorization for overtime. May include employee name, employee number, days and hours worked, vacation, sick or compensatory time used by employees or similar records noting exceptions to normal work hours and often including the department head or supervisor approval.	Dept. Human Resources	FY + 7 (audit support)	29 CFR 516.6; 29 CFR 1620.33 (b)	Shred / Delete
PER600	Training History	Records retained to confirm participation in and successful completion of job related training programs. Includes documentation of employee continuing education, training and development, including employee identification, training received, dates of training and related records.	Dept. and County Human Resources	T + 2	29 CFR 1602.31; 29 CFR 1602.14; GC 12946	Shred / Delete

| PER650 | Unemployment | Records documenting unemployment compensation claims. Records shall include a true and accurate work record which includes all workers and their status (employed, on layoff or leave of absence). Records series includes claims, pertinent correspondence, and similar material relating to unemployment compensation cases. | Dept. and County Human Resources | CL + 7 | 22 CCR 1085-2(c) | Shred / Delete |
| PER700 | Volunteer Files | Records documenting a volunteer's service history. Records series may include acceptance letter, correspondence, duties or responsibilities, qualifications and/or resume, etc. | Dept. | T + 3 | Riverside County Ord. 440 § 11.c | Shred / Delete |

3.26 Attachment CRS – ACR County Clerk Retention Schedule

County of Riverside, California
Departmental Records Retention Schedule
(DRRS_ACR-C_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
PO Box 472
Riverside, CA 92502
951-486-7151
(County Mail Stop 2625)

Introduction

This Departmental Records Retention Schedule (DRRS) for the Assessor-County Clerk-Recorder, County Clerk Department (ACR-C) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the Assessor before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. In the event an employee threatens a legal claim, retains an attorney and/or sends a demand letter, files an administrative charge, or files a lawsuit, the County Clerk will suspend any records destruction until the completion of the matter. (Board Policy A-43 § D.10)

For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete.

For records held for litigation, the County Clerk will maintain the requested records until the close of litigation plus an additional ten (10) years. The County Clerk is responsible for ascertaining the correct

date of closure in order to establish this ten (10) year retention period. Furthermore, the County Clerk is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required. Once litigation has concluded, the Division of Risk Management will provide approval to proceed with the approved disposition.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

B&P = Business and Professions Code
CCR = California Code of Regulations

Corp. Code = Corporations Code

CY = Calendar year end

Fam. Code = Family Code

GC = California Government Code

Ins. Code = Insurance Code

P = Permanent

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor-County Clerk-Recorder (ACR)	Schedule Type: Departmental Records Retention Schedule
Division: County Clerk	Schedule #:
Section: All	**DRRS_ACR-C_2011_Rev02**

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	**Title**	**Description**				
ACR-C-0001 ACR-C-100	Bonds & Surety Companies, List of	The Department of Insurance issues an annual list of registered Bond & Surety companies that is filed with clerk by date. Financial Statements; Annual financial statements of admitted sureties in California, on file with clerk by date. Power of Attorney, Appointment of/Power of Attorney Revocation; Surety company employee powers. Includes copies of power of attorney/ revocation of power of attorney. On file with clerk by date. Bail Bond insurance issuance/Revocation; Bail licenses issued/revoked by the Department of Insurance on file with the clerk by date.	Department of Insurance	CY + 3	Best Practice	Shred/Delete
ACR-C-125	Daily Processing Logs	This includes scanning logs, notary journal receipt letter/logs, etc.	County Clerk	CY + 3	Best Practice; Dept. Policy	Shred/Delete
ACR-C-150	Deputy Commissioner For the Day	Applications and supporting documentation for Deputy Commissioner for the Day applicants	County Clerk	Revocation + 5	Best Practice; Dept. Policy	Shred/Delete
ACR-C-0002 ACR-C-175	Environmental Findings	California Environmental Quality Act: Negative Declaration and Notice of Determination, Public Notice of Environmental Finding (Posting Page) Duplicate copies of notices of projects with environmental impact implications.	County Clerk	12 months	14 CCR 753.5(f)	Shred/Delete
ACR-C-0005 ACR-C-200	Environmental Findings Index	Index is used to create the posting page.	County Clerk	CY + 1	14 CCR 753.5(f); Best Practice	Shred/Delete

ACR-C-225	Error Supsense Logs	Logs documenting errors and backup documentation supporting attempts to contact customer to correct errors.	County Clerk	CY + 4	Best Practice; Dept. Policy	Shred/Delete
ACR-C-0003 ACR-C-250	Fictitious Business Name Index	Permanent Index of Fictitious Business Names statements maintained by clerk.	County Clerk	P	Best Practice; B&P 17925(b)	County Archives
ACR-C-0004 ACR-C-275	Fictitious Business Name Statements, Abandonments Statements, Withdrawal Statements, Affidavit of Publication	Original Fictitious Business Name Statements of for profit businesses, on file with clerk by file number. Statement of Abandonment and Withdrawal of Partnership, records of business name statements that have been abandoned or withdrawn, on file with clerk by file number. Affidavit of Publication of Fictitious Business Name Statement, proof that FBN statement was published with an adjudicated newspaper, on file with clerk by file number.	County Clerk	Expiration + 4	B&P 17927	County Archives
ACR-C-0006 ACR-C-300	Humane Officer Oath of Office	Record of appointed Humane Officers, badge number, and judge appointment, date of revocation if applicable.	County Clerk	CY + 3	GC 26202; Best Practice	Shred/Delete
ACR-C-0007 ACR-C-325	Humane Officer Registry	Permanent record of Humane Officers listing name, badge number, appointing judge, appointment date, revocation date.	County Clerk	P	Best Practice; Corp. Code 14502(a)(c)(3)(f)	County Archives
ACR-C-0008 ACR-C-350	Index of Deputy County Clerks	List information on appointments and revocations.	County Clerk	P	Best Practice; GC 24102	Dept.

ACR-C-0009 ACR-C-375	Legal Document Assistant, Certificate of Registration/Bond	Records of registrations of legal document assistants listing name, file number, date filed.	County Clerk	Expiration + 3	B&P 6403(e); Best Practice	Shred/Delete
ACR-C-00010 ACR-C-400	Legal Document Assistant, Certificate of Registration of (cash deposit)	Records of registrations of legal document assistants listing name, file number, date filed.	County Clerk	Expiration + 3	B&P 6405(g)	Shred/Delete
ACR-C-00011 ACR-C-425	Legal Document Assistant Log	Permanent record of Legal Document Assistants listing name, file number, date filed.	County Clerk	P	Best Practice; B&P 6407(a)	Dept.
ACR-C-00012 ACR-C-450	Marriages, Application and Court Order to Obtain Information re: Confidential	Application submitted to a judge to obtain information regarding a confidential marriage.	County Clerk	CY + 2	GC 26202	Shred/Delete
ACR-C-00013 ACR-C-475	Marriage, Application for Confidential	Application worksheet, supporting documentation for license such as Affidavit of Inability to Appear, Affidavit of Identifying Witness, Affidavit for Duplicate Certificate of Marriage filed by license number.	County Clerk	CY + 1 after issuance	California Marriage Certificate Registration Handbook from DHS Pg.36, Par4 date 5/4/2009	Shred/Delete

ACR-C-00014 ACR-C-500	Marriages, Application for Public (Public, Declared, Non-Clergy)	Application worksheet, supporting documentation for license such as Affidavit of Identifying Witness, Affidavit for Duplicate Certificate of Marriage, Application for Permission to Marry and Order, Consent to Marriage of Minor, Consent of Parent or Guardian to Issuance of Marriage, all applications filed by license number.	County Clerk	CY + 1 after issuance	California Marriage Certificate Registration Handbook from DHS Pg.36, Par4 date 5/4/2009	Shred/Delete
ACR-C-00015 ACR-C-525	Marriages, Cerficiate of Confidential	Establishes a record of marriage.	County Clerk	P	FC 511(b) may be microfilmed per GC 26205; Best Practice	County Archives
ACR-C-00016 ACR-C-550	Marriage, Index of Confidential	Permanent Index of Registered Confidential Marriages.	County Clerk	P	FC 511(b) may be microfilmed per GC 26205; Best Practice	County Archives
ACR-C-00017 ACR-C-575	Marriages, Notary Authorization to issue Confidential Marriages	Notary public must submit application for approval to authorize confidential marriages.	County Clerk	CY + 3	Best Practice; FC 500	Shred/Delete
ACR-C-00018 ACR-C-600	Notary Journals	Notary journals are deposited with county clerk and contain signatures and personal data pertaining to each notarial act.	County Clerk	10 years from receipt or reset date due to line item inquiry. Journals cannot be destroyed without court order.	GC 8209(c)	Shred/Delete

~~ACR-C-00019~~ ACR-C-625	Notary Journals, Index	Permanent index of deposited journals listing notary name, commission number, date journals were surrendered, destruction date of journals.	County Clerk	P	Best Practice; GC 8209(c)	County Archives
~~ACR-C-00020~~ ACR-C-650	Notary Public Oaths	Notary public oaths taken, commission number, date of commission and copy of oath. On file with clerk by file number.	County Clerk	Expiration + 1	GC 8213(a); Dept Policy	Shred/Delete
~~ACR-C-00021~~ ACR-C-675	Oaths of Office and Revocations of County Clerk Deputies	Authorizes the signature of Deputy County Clerks to perform duties for the County Clerk. Appointment of Deputy County Clerks is filed with the County Clerk and expires upon revocation.	County Clerk	Revocation + 5	GC 24102	Shred/Delete
~~ACR-C-00022~~ ACR-C-700	Passport Application Transmittal	Transmittal listing all passport applications processed.	County Clerk	CY + 2	Department of State recommends at least 24 months retention	Shred/Delete
~~ACR-C-00024~~ ACR-C-725	Process Server, Certificate of Registration	Records of registrations of process servers.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 22350, 22351(c) & 22354	Shred/Delete
~~ACR-C-00025~~ ACR-C-750	Process Server, Certificate of Registration (cash deposit)	Records of registrations of process servers.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 22350, 22351(c) & 22354	Shred/Delete

~~ACR-C-00026~~ ACR-C-775	Process Server Log	Permanent log of process server registrations listing name, file number, file date.	County Clerk	P	B&P 22355(a)	Dept.
~~ACR-C-00027~~ ACR-C-800	Professional Photocopier, Certificate of Registration of Bond of	Records of registrations of professional photocopiers.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 22452(c) & 22456	Shred/Delete
~~ACR-C-00028~~ ACR-C-825	Professional Photocopier, Certificate of Registration of (cash deposit)	Records of registrations of professional photocopiers.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 22452(c) & 22456	Shred/Delete
~~ACR-C-00029~~ ACR-C-850	Professional Photocopier Log	Permanent log of professional photocopiers listing name, file number, file date.	County Clerk	P	B&P 22457(a)	Dept.
~~ACR-C-00030~~ ACR-C-875	Public Agency, Statement of and Roster of	Roster of names and addresses of Public Agencies and their Officials as submitted by the public agency.	County Clerk; Secretary of State	P	GC 53051(c)	Dept.
~~ACR-C-00031~~ ACR-C-900	Unlawful Detainer Assistant, Certificate of Registration	Records of registrations of Unlawful Detainer Assistants, on file with clerk by file number. Also includes applications for identification cards.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 6406(a) & 6403(e)	Shred/Delete

ACR-C-00032 ACR-C-925	Unlawful Detainer Assistant, Certificate of Registration of (cash deposit)	Records of registrations of Unlawful Detainer Assistants.	County Clerk	Expiration + 3 (original) Expiration + 10 (digital image)	B&P 6406(a) & 6403(e)	Shred/Delete
ACR-C-00033 ACR-C-950	Unlawful Detainer Assistant Log	Permanent log of Unlawful Detainer Assistants listing name, file number, file date.	County Clerk	P	B&P 6406(a); B&P 6407(a)	Dept.

3.27 Attachment RRS – ACR Recorder Retention Schedule

County of Riverside, California
Departmental Records Retention Schedule
(DRRS_ACR-R_2011_Rev02)

Enacted pursuant to Board of Supervisors, County of Riverside Resolution No. 2004-044, "Pertaining to the Retention and Destruction of County Records," and Board of Supervisors, County of Riverside Policy A-43: "County Records Management and Archives Policy."

Inquiries or comments regarding this schedule should be directed to:

County of Riverside
Records Management and Archives Program (RMAP)
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Introduction

This Departmental Records Retention Schedule (DRRS) for the Assessor-County Clerk-Recorder, Recorder (ACR-R) is adopted as per the recommendations of Board Policy A-43 and supersedes the DRRS adopted January 23, 2007.

This schedule is written with general titles and descriptions rather than identifying specific individual documents or forms. A record with content and function that is substantially the same as an item described in this schedule should be considered covered by that series. This retention schedule indicates the length of time that listed records, regardless of media or format, must be retained by the Recorder before disposition may be implemented. These retention requirements are recommended in order to reduce the costs for the storage and maintenance of records while ensuring that administrative, fiscal, legal and other recordkeeping responsibilities are met.

Records, including copies held for convenience or reference, must be disposed of as directed herein at the close of the official retention period. A full justification for any request to extend the retention period for a particular group of records must be submitted in writing to the Records Management and Archives Program (RMAP) as stated by Board Policy A-43, Section D.5.

If a federal or state statute or regulation specifies a longer retention period for any records series received, created, or maintained by the department, the statute or regulation override this schedule and the department must amend its records retention schedule as soon as practicable. In addition, a record may not be destroyed if notice of litigation, audit, open records request, etc. is received prior to the expiration of the retention period. For records held for audit purposes, the Auditor Controller's Office, or appropriate auditing authority, will notify the department once the audit is complete. In the event a claim or a lawsuit is made against the county of Riverside, the Recorder will suspend destruction of the subject records until all Issues of the matter are resolved. Further, if the Recorder is notified by County Counsel or Human Resources to put documents on hold due to a claim or other legal proceeding, the Recorder will suspend any records destruction of the identified documents. (Board Policy A-43 § D.10)

The Recorder will maintain the requested records until the close of litigation or proceedings plus an additional ten (10) years. The Recorder is responsible for ascertaining the correct date of closure in order

to establish this ten (10) year retention period. Furthermore, the Recorder is responsible for establishing appropriate procedures to ensure that records are retained for the period of time mandated and that the records remain accessible as required.

Explanation of Fields

Record Series Codes: The Record Series Code is assigned by RMAP. The code is alphanumeric and uniquely identifies the Record Series Title regardless of the schedule it occupies enabling the Record Series to be tracked within the master index system.

Record Series Title: The Record Series Title identifies a group of similar records generally produced or utilized for similar business needs allowing them to be evaluated as a group for retention scheduling purposes.

Record Series Description: A description of the Record Series Title that includes examples, not an exhaustive list, of the record types found within the group.

Official Record Retention: The length of time that the Copy of Record must be kept based upon the legal minimum requirement as well as any operational or business need. All other copies must be disposed of at the end of the retention period. For example, departmental copies held for convenience or reference must be destroyed at the close of the retention period or when no longer needed to support normal business operations, whichever is earlier.

Citation / Rationale: The legal citation or operational/business reason for retaining the Copy of Record for the period specified.

Final Disposition: The recommended final status or arrangement for the Copy of Record, usually disposed of by recycling, confidential shredding or transfer to the County of Riverside Archives as determined through best practice.

Explanation of Codes

Best Practice = Best Practice determined through business and government agency benchmarks.

Cal RIM = Secretary of State, Local Government Records Retention Guidelines

CC = California Civil Code

CCP = California Code of Civil Procedure

CL = Closed, which will also mean after final resolution (as in an inquiry or litigation) after expiration (as in a contract) after final payment, upon completion of participation in a program, etc. A record is considered "closed" when no further action is pending or required.

CY = Calendar year end

FC = California Family Code

GC = California Government Code

H&S = California Health & Safety Code

R & T = California Revenue & Tax Code

P = Permanent

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE

Department / Agency: Assessor-County Clerk-Recorder (ACR)	Schedule Type: Departmental Records Retention Schedule
Division: Recorder	Schedule #:
Section: All	**DRRS_ACR-R_2011_Rev02**

Record Series			Copy of Record	Official Record Retention	Citation / Rationale	Final Disposition
Code	**Title**	**Description**				
Administration						
ACR-R 0010	Archive Writer Audit Sheet	Form used for each roll during the quality control process to document findings.	Recorder	P	Best Practice	Dept.
ACR-R 0020	Attorney Service Drop Off Sheets	Customer forms completed when dropping off documents to be recorded. Form contains information such as customer name, special recording instruction and amount and type of documents.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0030	Audit of Master Microfilm Storage Facility	Annual audit of master microfilm and storage facility conditions including temperature readings and oxidation inspections. Audits performed on the same samples to establish benchmarks.	Recorder	P	Best Practice	Dept.
~~ACR-R 0019~~ ACR-R 0040	Customer Comment Cards	Forms completed by customer's of the Assessor-Clerk-Recorder's office where customers comment on the services provided to them. Customers rate customer service and provide suggestions for improvement of the services provided by the Assessor-Clerk-Recorder.	Assessor - County Clerk - Recorder	CY + 3	Best Practices; Dept. Policy	Shred/Delete
~~ACR-R 0025~~ ACR-R 0050	Documents Undeliverable by Mail and Uncalled for	Original documents left with and recorded by the County Recorder which are undeliverable by mail and uncalled for.	Recorder	P	GC26205.6; Best Practice	Shred/Delete
ACR-R 0060	Map Checklists	Quality control checklists of items that a map must contain in order to be recorded. Used to review evidence of decision made in the recording process.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

ACR-R 0070	Marriage Correspondence	Correspondence to couple and/or to person solemnizing marriage notifying them of errors in license that prevents it from being recorded and what action must be taken to correct it. Letters include the names of couple, license number and reason for the letter.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0080	Methylene Blue Tests	Results of outside testing certifying that film processing results with respect to fixer functions fall within the standards dictated by ANSI IT9.17-1993. Certificates record the range of methylene blue present on the film, the date the film was processed and the film roll from which it came.	Recorder	P	Best Practice	Dept.
ACR-R 0090	Preliminary New Match List	Records documenting the date, legal description and preliminary number filed in the Recorder's Office. Provides Indexing section with a list of people who have filed Preliminary 20-day notices informing them of who they need to contact in compliance with CC 3259.5.	Recorder	Filing date + 3	CC 3097	Shred/Delete
ACR-R 0100	Reports	Administrative reports detailing information such as the number of documents recorded, fee breakdown, mail status, etc. Updated and printed daily. Used for internal quality control and reference.	Recorder	P	Dept. Policy	Dept.
~~ACR-R 0053~~ ACR-R 0110	Studies and Statistics	Record of departments activities and accomplishments. They may include statistics, narrative reports, graphs and diagrams.	Assessor - County Clerk - Recorder	CY + 3	CalRIM; Best Practice	Shred/Delete
ACR-R 0120	Target Sheets	Record of fees for cashiering when recording a Record of Survey or Assessment Diagram.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

ACR-R 0130	Affidavit for Duplicate Marriage License	Issued when a license is not recordable due to whiteouts, stains, crossed out information, and other alterations, or when informed that the original license was lost. An affidavit must be signed and returned before a duplicate marriage license can be issued.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0140	Application for a Certified Copy of a Military Discharge (DD214)	Applications for a certified copy of recorded military discharge.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0004 ACR-R 0150	Application for Copy of Official Records	A request for copies of official records. Includes: document numbers requested, customer's name and address.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0005 ACR-R 0160	Application for a Search or Certified Copy of a Birth Certificate	A request for a search or a certified copy of a birth certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0006 ACR-R 0170	Application for Certified Copy or Search of a Death Record	A request for a search or a certified copy of a death certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0007 ACR-R 0180	Application for Certified Copy or Search of a Marriage Record	A request for a search or a certified copy of a marriage certificate on file in the Riverside County Recorder's office. Includes: name and address of requestor, name on certificate and date of event.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

Filed Documents						
ACR-R 0024 ACR-R 0190	Delinquent Tax List	Copy of publication and affidavit filed by the tax collector. Affidavit is published to show that the real property on which taxes, assessments, penalties and costs had not been fully paid are in default, together with a list of all that real property.	Recorder	Filing date + 7	R&T 3371-3374	Shred/Delete
ACR-R 0044 ACR-R 0200	Plans, Contracts & Specifications	Plans, contracts and specifications under which the work or improvement of any building was performed.	Recorder	Filing date + 5, unless notified in writing to retain them by someone claiming some interest under the contract or in the property affected	GC27205; CC 3258	Shred/Delete
ACR-R 0047 ACR-R 0210	Preliminary 20-Day Notice	A written notice from a claimant that is given prior to the recording of a mechanic's lien, prior to filing a stop notice and prior to asserting a claim against a payment bond. Includes: general description of labor, name and address of the person furnishing that labor, name of the person who contracted for purchase of that labor and the description of the job site.	Recorder	Filing date + 3	CC 3097	Shred/Delete
Logs						
ACR-R 0003 ACR-R 0220	Amendment Logs	Working files on incoming birth, death and marriage amendments. Includes: date and book and page number.	Recorder	Superseded + 2	GC 26202; Best Practice	Shred/Delete
ACR-R 0230	Archive Writer Microfilm Log	Form detailing when, who, the recording date and contents of each roll created from the Archive Writer.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete

ACR-R 0240	Bank Note Paper Logs	Logs tracking the storage and use of bank note paper on which are printed birth, death and marriage certificates.	Recorder	Last entry + 100	Best Practice	Shred/Delete
ACR-R 0250	Control Strip Logs	Logs recording the results of daily processor testing performed on exposure control strips prior to starting work. Services as a baseline and to verify the processor is functioning at the proper levels ensuring the density and quality of film remains consistent. Used in technical and operational troubleshooting.	Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0260	Equipment Logs	Logs maintained to document what has been duplicated or processed on a specific piece of equipment. Used to troubleshoot issues, spot-check employee performance and notify operator of the need to replenish chemicals necessary to maintain the integrity of the images produced.	Recorder	Last entry + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
ACR-R 0270	Map Logs	Shreadsheets completed by 1) the customer dropping off a map and 2) Recorder staff ensuring that each map is recorded in the correct order. Logs are updated with every recordation.	Recorder	Last entry + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
~~ACR-R 0032~~ ACR-R 0280	Map Log Books	Log of recorded official maps. Separated in books by type of map - tract, parcel, assessment, record of survey and condominium plan (1947 to present). Includes: map book and page number, name of the city or unincorporated area the property on the map is located in, the document number assigned to the map once recorded, the name of who submitted the map for recording, the fees for recording the map and the time the map was recorded.	Recorder	P	Best Practices, Dept. Policy	Dept.
ACR-R 0290	Metadata Logs	Captures and records metadata information for each electronic image produced and submitted to the Recorder's image database. Metadata is not embedded in the images produced.	Recorder	P	Best Practice	Dept.

~~ACR-R 0048~~ ACR-R 0300	Production/ Assignment Logs	Record of an employee's work rate and assigned duties. May include standards to be met and success rate.	Assessor - County Clerk - Recorder	CY + 3	GC 26202; CCP 338; Best Practice	Shred/Delete
Recorded Documents						
~~ACR-R 0001~~ ACR-R 0310	Abstract of Mortgage	Records of mortgages (1893-1897), includes indexes, names of borrowers and lenders, dates of documents and description of property. Arranged chronologically (handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
~~ACR-R 0002~~ ACR-R 0320	Abstract of Sales Made State to State	An abridgement as an abbreviated form or a summary of sales made state to state (handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
~~ACR-R 0008~~ ACR-R 0330	Assignments of Mortgages	Recorded transfers of real property encumbrances from old to new holders (1893-1930). Includes: index, date of assignment, names of assignor and assignee, location and description of property and date of recording combined with mortgages then recorded in official records after 1930. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
~~ACR-R 0009~~ ACR-R 0340	Bank Assets	Statements of banks financial condition (1893-1894). Includes: index, names of banks, sworn statements of financial condition. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
~~ACR-R 0010~~ ACR-R 0350	Bank Stocks	Statement of the paid up capitol stock of banks (1893-1894). Includes: index, names of banks, date of statement. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
~~ACR-R 0012~~ ACR-R 0360	Candidates, Receipts and Expenditures	Candidates affidavit of receipts and expenditures for primary election (1926-1932). (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.

ACR-R-0013 ACR-R 0370	Certificate of Sales	Records of sales by Sheriff on foreclosures (1893-1930). Includes: index, name of property owner, value, date of tax due, date of sale and property description. Arranged chronologically.	Recorder	P		GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0014 ACR-R 0380	Certificates of Residence	Index includes name, residence, place where summons may be served and date (1893-1930). Arranged alphabetically by name. (Handwritten records)	Recorder	P		GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0015 ACR-R 0390	Certificates of Revivor	Index to records showing the revival of a suit which is abated by the death or marriage of any of the parties. Also know as a bill of revivor. (Handwritten records)	Recorder	P		GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0016 ACR-R 0400	Chattel Mortgages	Records of loans secured by personal property (1893-1930). Includes: index, borrower's and lender's names, date of loan, amount of loan, description of property. Arranged chronologically.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0017 ACR-R 0410	City Charters	A legal document establishing a city. Charters are adopted by cities where special conditions create needs that can't be adequately met by the general laws. A city can adopt a charter and tailor it's organization and elective offices to provide for unique local conditions and needs. A charter can only be adopted and/or changed by a majority vote of city residents-not by a vote of the city council. (July, 1999 - Current). The Secretary of State holds the official record.	Recorder	P		GC34460; Best Practices	Dept.
ACR-R-0018 ACR-R 0420	Co Partnerships	Agreements of Co-Partnership (1893-1930). Includes: index, agreements, names of partners, firm and date of record. Arranged chronologically.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0021 ACR-R 0430	Declarations of Homestead	Records of persons claiming homesteads (1893-1930). Includes: indexes, names of homesteaders, descriptions of property. Arranged chronologically.	Recorder	P		GC27320-27336; GC 26205.5	Dept.

ACR-R-0022 ACR-R 0440	Decrees of Distribution	Record of probate court for the distribution of the estates of deceased persons (1893-1930). Includes: index, names of decedent, administrator, distributes and description of estate. Arranged chronologically. (Handwritten records)	Recorder	P		GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0023 ACR-R 0450	Deeds	Records transferring title to real property (1893-1930). Includes: indexes, nature and terms of document, description and location of property, names of grantor and grantee. Recorded in official records after 1930.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0026 ACR-R 0460	Federal Tax Liens	Index to tax liens (1923-1967). Includes: index, file number, name of taxpayer, address, amount due, date of notice and demand.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0027 ACR-R 0470	General Index	Index (1893-Current) to official records and to separate volumes of instruments that exist prior to the consolidation of the Recorder's documents into the official records in 1930. Includes: Recorder's number, title of instrument, names of grantee and grantor, reference to volume and page numbers in official records and date recorded. Combined general indexes, grantors-grantees after 1975. Grantee-a person who acquires an interest in land by deed, grant or other written instrument, commonly referred to as the buyer. Grantor-one who grants property or property rights, commonly referred to as the seller.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0028 ACR-R 0480	Leases	Leases of real property (1893-1930). Includes: index, date and number of document, names of lessor and lessee, date of recording, and reference to volume and page number in records. Supplanted by general indexes in 1931.	Recorder	P		GC27320-27336; GC 26205.5	Dept.
ACR-R-0029 ACR-R 0490	Licensed Surveyors	Register of civil engineers and surveyors. Includes: index, names, date issued, town and license number. Arranged alphabetically by name. (Handwritten records)	Recorder	P		GC 27320-27336; GC 26205.5; GC26205.7	Dept.

ACR-R-0030 ACR-R 0500	Lis Pendens	Evidence a pending court action concerning or affecting the title or the right of possession of real property. Includes: names of plaintiff(s) and defendant(s) as grantor and grantee, date of notice, purpose of action , location and description of property, date recorded, signature of attorney for plaintiff, case number, name of court or certified by a judge or clerk of the court. Also known as Notice of Pendency of Action.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0034 ACR-R 0510	Mechanics Liens	Records of transcripts of mechanics' and contractors' claims filed as statutory liens on property to secure payment of debt for material or labor used thereon (1893-1930). Includes: index, name of plaintiff, name of defendant, statement of claimant's demand (dollar amount), statement of labor, recording date and time, book and page numbers. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0035 ACR-R 0520	Military Discharge	Recorded copies of honorable discharges from the United States Armed Forces. May include: name of soldier, serial number, grade, branch of service, organization, date and place of birth, race, marital status, and civilian occupation. Information on military history may include: date of induction/enlistment, date entered into active service, place entered service, selective service date, military occupation, military qualification and date, battle campaigns, decorations and citations, wounds, immunization record, service outside United States, prior service, reason for separation, service schools attended, education pay date, insurance information, signature of soldier, signature of personnel officer and thumbprint.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0036 ACR-R 0530	Mining Claims	Handwritten locations of Cinnabar, Quartz, Magnesite, and other mining claims (1896-1930). Includes: index, date of claim. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.

ACR-R-0037 ACR-R 0540	Miscellaneous Records	Various documents not required by law to be kept in separate volumes (1893-1930). Includes: handwritten index, names of parties and documents such as: declaration of trust, military discharges, enlistment records, bills of sale, wine certificates, candidates statements, affidavits, agreements, completions and decrees. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0038 ACR-R 0550	Mortgages	Records by which real property is pledged as security of the repayment of an obligation (1893-1930). Includes: names of mortgagor and mortgagee, date, amount, and terms of mortgage, date recorded, location and description of property and signature of mortgagor. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0039 ACR-R 0560	Notices of Attachments	Records of notices of a party being served with a writ of attachment of specific property being attached and held as security in the event a judgment is rendered (1893-1930). Includes: date of notice, names of plaintiff and defendant, amount and reason of attachment, location and description of real property. Recorded in official records after 1930. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0040 ACR-R 0570	Official Bonds	Surety bonds posted by public officials. Includes: index, name of official position, sum of bond and date of bond. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0041 ACR-R 0580	Official Maps	Maps which show subdivision or boundaries in Riverside County. Includes: index, parcel, tract, record of survey annexations, assessments, highway and agricultural maps. Shows boundaries, owners, easements and divisions. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0042 ACR-R 0590	Official Records	Recorded instruments previously kept in separate volumes, but combined since 1931. Includes: deeds, mortgages, liens, and other documents dealing with real property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.

ACR-R-0043 ACR-R 0600	Patents (Land Patents)	Recorded land grants authorized by Federal and State Land Office, granting transfer of title of real property (1893-1930). Includes: handwritten index, name of grantee, location and description of land, amount of fees due, date recorded, proof of claim, and map of property. Arranged chronologically. Also known as Land Patents.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0045 ACR-R 0610	Power of Attorneys	Recorded copy of authority given to individuals to be Attorney in Fact (1893-1930). Includes: index, name of parties, date and description of powers. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0046 ACR-R 0620	Pre Emptions	Records of rights given to settlers upon the public lands of the United States to purchase lands at a limited price in preference to others. Includes: index, modernly equivalent to a first refusal of right.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0050 ACR-R 0630	Separate Property of Married Women	Recorded declarations of married women of separate ownership of property. Includes: index, description of property and livestock. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0051 ACR-R 0640	Sole Traders	Records of married women that engage in business on their own account. Includes: index, name of applicant, type of business, name of court. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0052 ACR-R 0650	Stray and Lost Property	Records contain descriptions of lost animals with notices to come forward and claim. Includes: description of property, value, brand and ear mark, date found, etc. Arranged chronologically. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R 0660	Sub Guarantees	Statements signed and acknowledged by all parties having any record title interest in the real property consenting to the preparation and recordation of a parcel map. The document is required to be submitted with parcel and tract maps.	Recorder	P	Best Practice	Dept.

ACR-R-0054 ACR-R 0670	Tax Deeds	Records of deeds issued to a purchaser following a sale necessitated by the non payment of real property taxes. Includes: index, tax year, amount of tax, property owner, description and amended tax deed. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0055 ACR-R 0680	Tax Sales	Records of property sold to the State of California for non payment of State and County taxes. Includes: tax year, description of property. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0056 ACR-R 0690	Torrens	A system of title recordation provided by provincial law; it is a system for the registration of land title, indicating the State of the title, including ownership and encumbrances. (Handwritten records)	Recorder	P	GC 27320-27336; GC 26205.5; GC26205.7	Dept.
ACR-R-0057 ACR-R 0700	Transcripts of Judgments	Recorded transcripts of civil judgments from district, county, or superior court in cases involving property (1893-1930). Includes: index, date, nature, amount of judgment, case number, name of court, names of plaintiff and defendant, location and description of property, name of judge and date recorded. Recorded in official records after 1930. Arranged chronologically.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0058 ACR-R 0710	Uniform Commercial Code Financing Statements	Original papers recording liens on personal property under the Uniform Commercial Code. These replaced chattel mortgages. Includes: index, file number, debtor's name and address, secured party, filing date, time, number and officer, types of property covered, signature of party and signature of clerk.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
ACR-R-0059 ACR-R 0720	Water Claims	Records of rights to the use and/or control of water, whether for irrigation, hydro electric power, or personal use. Includes index.	Recorder	P	GC27320-27336; GC 26205.5	Dept.

ACR-R 0060 ACR-R 0730	Wills	Recorded wills of deceased persons (1893-1955). Includes: index, names of testator and beneficiaries, date and number of will, nature and amount of bequests, date admitted to probate court, name of executor, date recorded, and signature of testator.	Recorder	P	GC27320-27336; GC 26205.5	Dept.
Vital Records						
ACR-R 0011 ACR-R 0740	Births	Register of all births occurring in Riverside County from 1893 to the present time. Includes: indexes, birth certificates, handwritten entries of births, delayed birth certificates, amendments, names of children, date of event and sex of child. Recording of vital statistics became a state function in 1905. Forms change over time. Arranged chronologically.	Recorder (1893 to 1905) California State Department of Health (1906 to Current)	P	GC27320-27336; GC 26205.5; H&S 102235	Dept.
ACR-R 0020 ACR-R 0750	Deaths	Register of all deaths occurring in Riverside County from 1893 to the present time. Includes: indexes, death certificates, delayed death certificates, amendments, name of decedent, date of death. Arranged chronologically.	Recorder (1893 to 1905) California State Department of Health (1906 to Current)	P	GC27320-27336: GC 26205.5; H&S102235	Dept.
ACR-R 0760	Expired Marriage License	Correspondence mailed to the applicants informing them of their license expiration date and to contact the County Clerk Office in the county of residence for a Declared Marriage License.	Recorder	CY + 3	GC 26202; CCP 338; FC 357-360; Best Practice	Shred/Delete
ACR-R 0033 ACR-R 0770	Marriages	Register of all marriages where the license was issued in Riverside County from 1893-Current. Includes: index, certificate of marriage, amendments, name of bride and groom, and date. Arranged chronologically by date of marriage.	Recorder	P	GC27320-27336, 26205.5, H&S102235	Dept.

Appendix A – Acceptance Actions / Change Log

ASARC-50 Integrated Clerk & Recorder System - Acceptance Actions / Change Log											
Log #	Date	Specification / Milestone	Revision #	Action / Change Description	Current Owner	Status	Notes, Resolution, Decision	Target Close	Close Date	Approved By:
1										
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Appendix B – Development Acceptance Certificate

Development Acceptance Certificate

Project Name	ASARC-50 CARDS	Reference Number	
Priority		Date Requested	
Requestor		Date Required	

Summary of Development Required

Deliverables Control	Status
1. Business Specification Completed Date:	
2. Technical Specification Completed Date:	
3. Development Completed (includes unit testing)Date:	
4. User Acceptance Testing Completed Date:	
5. Development Review Meeting Date:	
6. Roll back Plan reviewed Date:	

Schedule Impact & Scope of Work

		Date Approved	Implementation Phase
Business Owner Name			
Business Owner Name			
Business Sponsor Name			

Comments:

Decision

☐ Approved	☐ Rework Required
☐ Approved with Changes	☐

By: Tyler Project Manager _____ Date: _____

By: ACR Project Manager _____ Date: _____

By: ACR Delivery Manager _____ Date: _____

Appendix C – Milestone Acceptance Certificate

Milestone Acceptance Certificate

Project Name	ASARC-50 CARDS	Reference Number	
Milestone Phase #		Date Requested	
Requestor		Date Required	

This certificate confirms acceptance of the following Milestone as defined in the Statement of Work executed as part of the CARDS Contract on <Date >.

<Milestone Description>

Approved deliverables included in this milestone

Please list each deliverable

1.	21.
2.	22.
3.	23.
4.	24.
5.	25.
6.	26.
7.	27.
8.	28.
9.	29.
10.	30.
11.	31.
12.	32.
13.	33.
14.	34.
15.	35.
16.	36.
17.	37.
18.	38.
19.	39.
20.	40.

Decision

☐ Approved   ☐ Not-Approved

By   Tyler Project Manager:_____

By   ACR Delivery Manager:_____

By   ACR Project Sponsor: _____

Appendix D – Change Request Form

Change Request Form

Project Name	ASARC-50 CARDS	Reference Number	
Priority		Date Requested	
Requestor		Date Required	

Change Request Description

1.
2.
3.

Reason for Request

Business Requirements

1.
2.
3.

Recommended Change

1.
2.
3.

Impact Analysis (to be completed by Vendor)

| Estimated Cost: | Estimated Hours: | Deliverable Date: |

Describe Impact to any other project deliverable:

Decision

☐ Approved   ☐ Rejected

☐ Approved with modifications   ☐ Deferred

Approvals:

Business Owner:	ACR Project Manager :
Tyler Project Manager:	ACR Project Manager:
ACR Project Manager:	ACR Delivery Manager:

Appendix E – Existing Documentum Tech Arch Diagram

WAVE TECHNOLOGY SOLUTIONS GROUP

The Business of Content Management

County of Riverside - ACR

Electronic Content Management System Upgrade

Technical Architecture Document

This Technical Architecture Document (TAD) outlines the infrastructure recommended by WAVE to ACR for the implementation of the Documentum Upgrade Project. This Technical Architecture Document is intended to specify Hardware, software, and communication requirements by the product set to be implemented.

Dated:	March 15, 2012
Version:	1.1
Prepared By:	Ton Huynh – WAVE

Document Information

Revision History

VERSION #	DATE	DESCRIPTION
1.0	3/8/2012	Initial Draft
1.1	3/15/2012	Updated server information for stage and new production, added assumptions for gateway to Box Springs replication, updated client workstation requirements
1.2	9/25/12	Updated production servers with IP address and updated general client requirements
1.3	9/25/12	Changed some of the headings related to Server Environments.

Document Release and Approval

NAME	TITLE	ORGANIZATION	SIGNATURE	DATE

Reference Documents

TITLE	VERSION	DATE	AUTHOR(S)

Table of Contents

Design Overview

The Technical Architecture Design Document describes the technical architecture being employed for ACR, Documentum Upgrade project. The document is broken down into the following phases.

The sections covered in the TAD are:

Project Overview: — describes the purpose of the project, its orientation and the basic goals to be achieved.

Upgrade Approach — describes the strategy for conduction the upgrade from the current 6.0 Sp1 to the 6.7 Sp1 environments.

System Planning and Architecture—describes the current, stage, and post upgrade server infrastructure (including SAN, Servers, and Virtual Servers) and describes the Pre, Stage and Post Documentum architecture in terms of the software components required to satisfy the Documentum system project's needs.

Upgrade Task—describes task required to perform the upgrade.

Project Overview

Overview

The purpose of the Documentum upgrade project at ACR is to:

- Upgrade the Documentum environment 6.0 Sp1 (which is out of standard maintenance) to Documentum 6.7 service pack 1

- Upgrade to new release of Captiva 6.5 Sp1 from Captiva 5.3

Upgrade Approach

This section describes items particular to the upgrade approach.

The approach for the upgrade involves the clone of the current production environment onto a stage environment, upgrading the stage system, and then cloning again to a new set of Production Servers already at Documentum 6.7 sp1. Prior to performing the final cut-over a final synchronization of all the data files will occur to ensure all data is up to date.

To ensure a seamless and efficient upgrade this approach will consist to three phases (Development, Test and Production). The main objective of each phase is as follows:

- Development:

  o Wave team to build, test and remediate the Documentum 6.0 Sp1 environment to Documentum 6.7 Sp1.

  o Review, upgrade and update the Captiva processes within Wave's internal environment.

- o Install, configure, and deploy a new Captiva 6.5 sp1 Production environment.

- **Test:** Confirm that system functionality corresponds to the requirements gathered from the Functional Requirements document in both Wave and ACR environments by both Wave and ACR user acceptance testing staff.

- **Production:** Make any required modifications to the Hardware and software based on the UAT sessions. Upgrade the production system and run a final synchronization process to ensure the environments are up to date. Following the switch over a final run through of the new production Captiva and Documentum System is required to ensure system functionality.

System Planning and Architecture

This section describes items particular to the architecture of the system.

Servers

Assumptions

The Post upgrade environment is based off the current Hardware recommendations provided with the initial system deployment.

The Gateway location shall replicate to the Box Springs location via current SAN replication technologies.

High Level Upgrade Diagram

System Replication Process
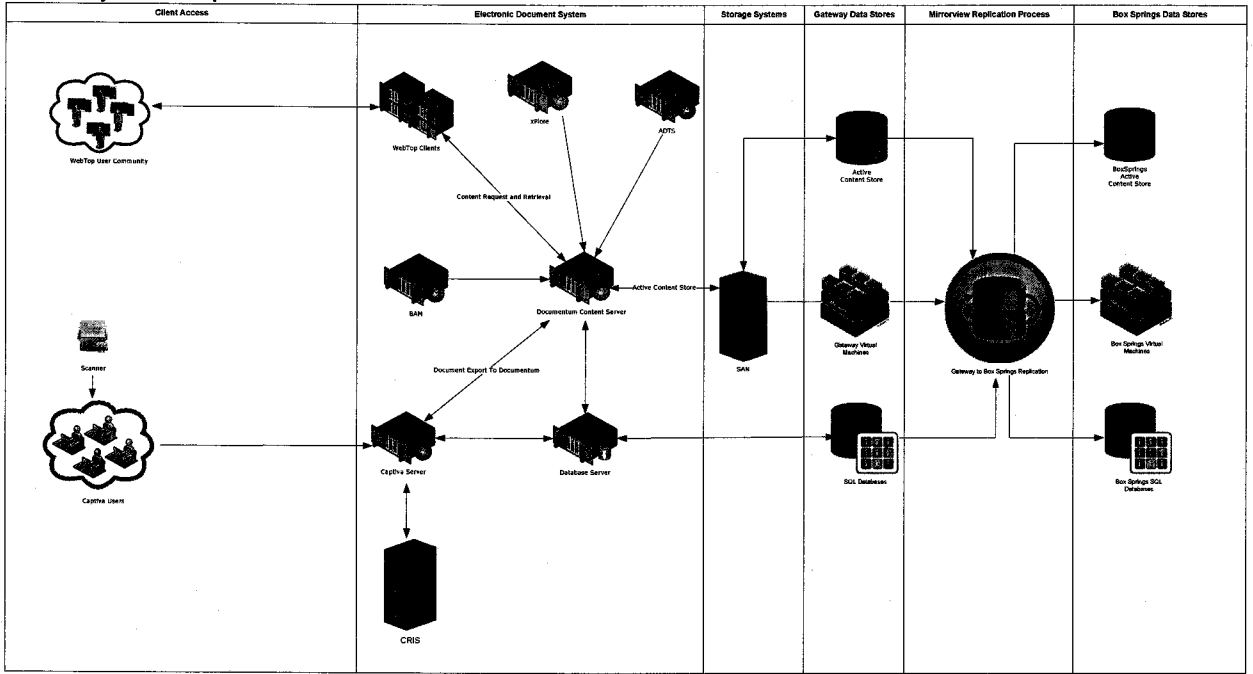
Production Servers Prior to Upgrade

Server Name	Product	Operating System	IP Address
ACR-SERVERVM1101V	Content Server 6 sp1 & (Source) Site Caching Services 6 sp1 & Application Builder 6 sp1 & Application Installer 6 sp1	2003 Enterprise R2	10.21.56.77
ACR-SERVERVM1102V	Author Integration Services	2003 Enterprise R2	10.21.56.78
ACR-SERVERVM1103V	WebTop 6 sp1 & DA sp1	2003 Enterprise R2	10.21.56.79
ACR-SERVERVM1104V	WebPublisher 6 sp1	2003 Enterprise R2	10.21.56.80
ACR-SERVERVM1105V	Records Manager Administrator 6 sp1 & Retention Policy Administrator 6sp1	2003 Enterprise R2	10.21.56.92
ACR-SERVERVM1106V	Forms Builder6sp1 & Process Builder6sp1 & BAM/PA 6sp1	2003 Enterprise R2	10.21.56.95
ACR-SERVERVM1107V	(Target) Site Caching services6sp1	2003 Enterprise R2	10.21.56.100
ACR-	Advance	2003	10.21.56.102

Server Name	Product	Operating System	IP Address
SERVERVM1108V	Document Transformation Services6sp1	Enterprise R2	
ACR-SERVERVM1109VM	Captiva	2003 Enterprise R2	10.21.56.110
ACR-SERVERVM1110VM	Captiva	2003 Enterprise R2	10.21.56.122
ACR-SERVERVM1111VM	Captiva	2003 Enterprise R2	10.21.56.127
ACR-SERVERVM1112VM	Captiva	2003 Enterprise R2	10.21.56.128
ACR-SERVERVM1120VM	Captiva	2003 Enterprise R2	10.21.56.129
ACR-SERVERVM1121VM	Captiva	2003 Enterprise R2	10.21.56.130
ACR-SERVERVM1122VM	Captiva	2003 Enterprise R2	10.21.56.130

Stage Servers

Server Name	Product	Operating System	IP Address
ACR-CS1-Stage	Content Server 6 Sp1	Windows 2003 R2 Sp3	10.21.56.163
ACR-ORA-STAGE	Oracle 10g R2	Windows 2003 R2 Sp3	10.21.56.152

Production Servers Post Upgrade

Server Name	Product	Operating System	IP Address
ACR-CS-GW	Content Server 6.7 sp1 & (Source) IDS	2008 Enterprise R2 Sp1	10.21.56.123

Server Name	Product	Operating System	IP Address
	6.7 sp1		
ACR-WebTop-GW	WebTop 6 sp1 & DA sp1	2008 Enterprise R2 Sp1	10.21.56.117
ACR-RM-GW	Records Manager 6.7 sp1	2008 Enterprise R2 Sp1	10.21.56.116
ACR-BAM-GW	BAM 6.7 Sp1	2008 Enterprise R2 Sp1	10.21.56.109
ACR-ADTS-GW	Advance Document Transformation Services 6.7 Sp1	2008 Enterprise R2 Sp1	10.21.56.108
ACR-Xplore-Gw	xPlore Server 1.2	2008 Enterprise R2 Sp1	10.21.56.118
ACR-IAS-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.114
ACR-CAP2-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.110
ACR-CAP3-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.111
ACR-CAP4-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.112
ACR-CAP5-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.113
ACR-CAP6-GW	Captiva 6.5 Sp1	2008 Enterprise R2 Sp1	10.21.56.114

Server Configuration

Listed are configuration settings for servers to be installed and the naming convention used.

Hard Drive Partitioning

◆ The boot partition (C :) should be set to a minimum of 40GB and the rest should be used for as an extended disk partition.

◆ The partitions will be formatted with NTFS.

◆ The Documentum/Captiva Servers will require LUN presentations to the VM. The drive assignments are based off the existing Content Server and Database server drive assignments.

◆ Creation of a new Swap drive specific to house the page file. Current Allocation is 1.5 the amount of physical memory or 4096MB.

Operating System
Production

◆ Windows 2008 Server Enterprise R2 Sp1 64bit will be installed on all Documentum servers.

◆ Windows 2008 Server Enterprise R2 Sp1 64bit will be installed on all Captiva servers.

◆ Windows 7 32/64 bit will be installed on the following Documentum Station.

  ■ Documentum Administration Station

  Stage

◆ Windows 2003 R2 Sp3 will be installed on the Documentum servers.

Naming Convention

The naming convention will be specified by the ACR's staff following the NetBIOS standard for length (15 characters maximum) and entered during the installation of the operating system.

Domain

The servers will join ACR's domain during the installation. This process requires "add computer to domain" access to join computers to the domain.

Internet Protocol (IP) Address

During the operating system installation process an IP addresses will be assigned to the servers. These IP addresses must be static.

Service Packs, Hot Fixes, and Patches

Documentum does not support the service packs, patches, or hot fixes for products which it has not tested. Although a patch may "fix" a 3rd-party product, Documentum only supports the patch/fix once it has been verified that it does not cause additional problematic behavior. The specific details of the product versions supported are available in the release notes for each Documentum product, which may be downloaded from Subscriber.net.

If there is a situation where a 3rd-party patch must be recognized, or there is a problem with a 3rd-party product resold by EMC for use with Documentum, a support case should first be filed with Documentum support. There is no definitive guide regarding all product versions and patch levels, and they must be handled on a case by case basis. Prior to implementation of new OS patches or other changes likely to

impact the system, please open up a support request verifying functionality prior to implementation.

Service packs, hot fixes, and patches provided by support to the customer, to fix Documentum products, are generally safe to apply (in regards to other software version levels), but can sometimes break other functionality

Workstations

General Workstation

These client stations are used by employees for Documentum specific web operations using the Documentum WebTop client.

There are no specific Hardware requirements regarding this workstation. In general a recommended workstation will have at least a 1.5-2.0 GHz processor with 512MB-1GB RAM. Below is a matrix table for

		Operating system/Processor						
Browser	JRE	Windows XP SP3 (32-bit)/ IA-32, x64	Windows Vista SP2 (32-bit)/IA-32, x64	Windows 7 SP1 (32-bit)/ IA-32, x64	Windows 7 SP1 (64-bit)/x64	Windows Server 2008 SP2 (32-bit)/ IA-32, x64	Windows Server 2008 SP2 (64-bit)/ x64	Windows Server 2008 R2 SP1 (64-bit)/x64
IE7 for Windows XP [1], Vista SP1, Server 2008 [2]	Oracle JRE 6.0 Update 27	Y	Y	Y	Y	Y	Y	Y
IE8 for Windows XP, Vista, Server 2008 [3], 7 [4]	Oracle JRE 6.0 Update 27	Y	Y	Y	Y	Y	Y	Y
IE9 for Windows Vista, Server 2008, Server 2008 R2 [5], 7	Oracle JRE 6.0 Update 27		Y	Y	Y	Y	Y	Y
Firefox 3.6.19, 6.0.0, 7.0.1 [6]	Oracle JRE 6.0 Update 27	Y	Y	Y	Y	Y	Y	Y

[1] Build number of this browser is 7.00.5730.1300.
[2] Build number of this browser is 7.00.6001.1800.
[3] Build number of this browser is 8.00.6001.18702.
[4] Build number of this browser is 8.00.7000.00000.
[5] Build number of this browser is 9.0.8112.16421.
[6] Firefox browser is not supported for Documentum Application Connectors.

The general users' workstations will be on the standard business network.

For additional information on supported browsers, JREs, and their versions, please refer to the *Documentum_Environment_and_System_Requirements_Guide_6.7_SP1*

The general users' workstations will be on the standard business network.

*Note: https://solutions.emc.com/emcsolutionview.asp?id=esg130868 support note states support for

JRE 6 update 33, this is currently not reflected in the *Environment_and_System_Requirements* documentation for 6.7 sp1.

Upgrade Task

This section describes the task required during the upgrade process

Before upgrading a repository, we'll create an environment in which to Stage the upgrade process.

To do this, we will create a new installation using the original Content Server software version (6.0 Sp1), clone the repository, and then upgrade that clone creating a new Stage environment. After the upgraded clone is tested, using the same procedures, we will clone the original production repository creating a copy that we will switch over to as the new Production system. This process gives us the ability to stage the upgrade process and also provide a fail back solution to the original environment if any unforeseen errors happen during the production upgrade.
Creating the Upgraded Environments
Pre copy tasks

Before we create the repository copy, the following tasks are required:

Decide whether to copy the content files.	Yes	Yes
Obtain the repository name.	ACRPROD/ACRTEST	ACRPROD/ACRTEST
Obtain the repository ID from the server.ini file.	119050(ACRTEST) 119051(ACRPROD)	119050(ACRTEST) 119051(ACRPROD)
Obtain the repository owner's name and password.	ACRTEST ACRPROD	ACRTEST ACRPROD
Create a database instance separate from the database instance used by the production repository.	(NEW SERVERS PROVIDED)	(NEW SERVERS PROVIDED)
Obtain connection information for the alternative database instance.	Yes	Yes
Identify a target host on which to create the repository copy	ACR-CS1-Stage	ACR-CS1-GW
Obtain the system or administrator Username and password for the database.	Provided	Provided
Note the drive on which the production repository resides.	Completed	Completed
Decide whether to create the copy on the equivalent drive.	Yes	Yes
Decide whether to create the copy on a drive equivalent to the drive on which the production repository resides. If the copy is on a different drive, there are additional steps to perform.	Same	Same

Copying Documentum Repository

In the instructions that follow, the clone repository is called the *repository copy,* the original repository is called the *production repository* and the new production repository is call *new production repository.*

To Create the Repository Copy:

1. Shut down the production repository.

2. On the stage target host, create a new Content Server installation and repository (the repository copy) of the same version number as the production repository.
    *   When you create the repository copy, ensure that you use the same repository name, repository ID, and repository owner name and password as the production repository.
    *   Ensure to use the same database owner account
    *   Ensure that you use a **different database instance** from the instance used by the production repository and that you provide the correct connection information when you install.

For example, under Oracle the tnsnames.ora on the host where the repository copy resides must point to the Oracle instance used by the copy, not the instance used by the production repository.

3. Ensure that the repository copy projects to a connection broker different from the connection broker used by the production repository.

4. Copy the $DOCUMENTUM/dba/secure/aek.key and the $DOCUMENTUM /dba/config/ACR_docbase/dbpasswd.txt files from the original host to the same location on the repository copy host.

5. Apply to the repository copy any patches you applied to the production repository.

6. Connect to the database instance serving the production repository.

7. Use the database vendor's tools to export all objects owned by the repository owner and export the schema for the tables comprising the repository. Contact the database vendor for any technical support you need to use the database tools.

8. On the production repository host's file system, create a backup of the **$DOCUMENTUM/data/*ACR_docbase*** directory. This is the directory containing the repository's content files.

9. Stop the repository copy.

10. Connect as the System account to the database instance that is serving the repository copy

11. Destroy the existing tablespaces or database by using the dm_DeleteTableSpace.sql script in

$DOCUMENTUM/dba/config/*ACR_docbase/*. The scripts are database-specific. Run the script using the tools provided by the database vendor.

12. Delete the physical database file from the file system. The name and location of the physical file are in the dm_CreateTableSpace.sql script.

13. Create new tablespaces or databases for the repository copy by using the dm_CreateTableSpace.sql script in $DOCUMENTUM/dba/config/*ACR_docbase/*. The scripts are database-specific. Run the script by using the tools provided by the database vendor.

14. Import the database export taken from the production repository into the newly created tablespaces or database.

imp system/<*****> fromuser=dctm_install touser=dctm_install
file=[drive]:\<*importname.dmp*> log=[drive]:\dctm_insatll.log

15. Once Import is complete verify that the database tables have the correct value for the test system hostname by checking the following values:
    - r_host_name in dm_server_config_s
    - host_name in dm_mount_point_s
    - target_server in dm_job_s
    - projection_targets in dm_server_config_r

16. Connect to the database that is serving the repository copy as the repository owner.

17. If any of the values in **Step 15** are incorrect, use SQLplus or any other database tool to correct the values.

18. Set the server to rebuild the Documentum views with this SQL Server statement:
    update dm_type_s set views_valid=0

19. If you are testing operations that require the content files, copy the content file backup from the production repository to the file system of the repository copy.

20. Navigate to the **DOCUMENTUM/dba/config/*ACR_docbase*** directory and open the server.ini file in a text editor.

21. Ensure that the preserve_existing_types key in the SERVER_STARTUP section is set to TRUE: preserve_existing_types=T

22. Save the server.ini file.

23. Start the Content Server for the repository copy.

24. If you are testing the migration of a Web content management repository, modify the user objects to reflect the new authentication domain.
    a. Start IDQL and connect to the repository as the installation owner.

    b. Run the following commands: update dm_user objects set user_os_domain ='*new_machine_name*' where user_os_domain ='*old_machine_name*'

    c. Disconnect from the repository and exit IDQL.

25. If the Content Server and content files of the copy reside on a drive different from the drive used by the production repository, use IDQL to update the file_system_path attribute of the dm_location and dm_mount_point objects to the new location: update dm_location objects set file_system_path='*newpath*' where file_system_path='*old path*' update dm_mount_point objects set file_system_path='*newpath*' where file_system_path='old *path*'

26. Deactivate all jobs by changing the is_inactive attribute on all job objects to TRUE.

27. Upgrade the repository copy and verify the upgrade.

New Documentum Production Environment

The Production repository:

1. On the production target host (new production repository), create a new Content Server installation and repository of the same version number as the repository copy.
   - When you create the new production repository, ensure that you use the same repository name, repository ID, and repository owner name and password as the repository copy.
   - Ensure to use the same database owner account
   - Ensure that you use a **different database instance** from the instance used by the repository copy or production repository and that you provide the correct connection information when you install.

For example, under Oracle the tnsnames.ora on the host where the repository copy resides must point to the Oracle instance used by the copy, not the instance used by the production repository.

2. Ensure that the new production repository projects to a connection broker different from the connection broker used by the production repository and repository copy.

3. Copy the $DOCUMENTUM/dba/secure/aek.key and the $DOCUMENTUM /dba/config/ACR_docbase/dbpasswd.txt files from the repository copy content server to the same location on the repository copy host.

4. Apply to the new production repository any patches you applied to the repository copy.

5. Connect to the database instance serving the repository copy.

6. Use the database vendor's tools to export all objects owned by the repository owner and export the schema for the tables comprising the repository.

Contact the database vendor for any technical support you need to use the database tools.

7. On the repository copy host's file system, create a backup of the **$DOCUMENTUM/data/*ACR_docbase*** directory. This is the directory containing the repository's content files.

8. Stop the new production repository.

9. Connect as the System account to the database instance that is serving the repository copy

10. Destroy the existing tablespaces or database for the new production repository by using the dm_DeleteTableSpace.sql script in **$DOCUMENTUM/dba/config/*ACR_docbase*/**. The scripts are database-specific. Run the script using the tools provided by the database vendor.

11. Delete the physical database file from the file system. The name and location of the physical file are in the dm_CreateTableSpace.sql script.

12. Create new tablespaces or databases for the new production repository by using the dm_CreateTableSpace.sql script in $DOCUMENTUM/dba/config/*ACR_docbase*/. The scripts are database-specific. Run the script by using the tools provided by the database vendor.

13. Import the database export taken from the repository copy into the newly created tablespaces or database.

imp system/<*****> fromuser=dctm_install touser=dctm_install file=[drive]:\<*importname.dmp*> log=[drive]:\dctm_insatll.log

14. Once Import is complete verify that the database tables have the correct value for the test system hostname by checking the following values:
    - r_host_name in dm_server_config_s
    - host_name in dm_mount_point_s
    - target_server in dm_job_s
    - projection_targets in dm_server_config_r

15. Connect to the database that is serving the new production repository as the repository owner.

16. If any of the values in **Step 15** are incorrect, use SQLplus or any other database tool to correct the values.

17. Set the server to rebuild the Documentum views with this SQL Server statement:
    update dm_type_s set views_valid=0

18. Copy the content file backup from the production repository to the file system of the new production repository.

---

19. Navigate to the **DOCUMENTUM/dba/config/*ACR_docbase*** directory and open the server.ini file in a text editor.

20. Ensure that the preserve_existing_types key in the SERVER_STARTUP section is set to TRUE: preserve_existing_types=T

21. Save the server.ini file.

22. Start the Content Server for the new production repository.

23. If you are testing the migration of a Web content management repository, modify the user objects to reflect the new authentication domain.
    d. Start IDQL and connect to the repository as the installation owner.
    e. Run the following commands: update dm_user objects set user_os_domain =*'new_machine_name'* where user_os_domain =*'old_machine_name'*
    f.   Disconnect from the repository and exit IDQL.

24. If the Content Server and content files of the copy reside on a drive different from the drive used by the production repository, use IDQL to update the file_system_path attribute of the dm_location and dm_mount_point objects to the new location: update dm_location objects set file_system_path='*newpath*' where file_system_path='*old path*' update dm_mount_point objects set file_system_path='*newpath*' where file_system_path='old *path*'

25. Deactivate all jobs by changing the is_inactive attribute on all job objects to TRUE.
    Creating a new full text index in the stage environment
Since the existing 6.0 Sp1 Index server(FAST) is not supported in Documentum 6.7 Sp1, a new Documentum xPlore Index Server is required for the production environment. A re-indexing operation is required after the xPlore installation.

    Upgrading Captiva
The upgrade process for Captiva will consist of the following steps:

1. Installation of the new Captiva Servers with version 6.5 Sp1
    a. Installation of Captiva Database IADB(ACR-SQL1-GW)
    b. Installation of Captiva Server components
    c. Installation of Web Administration Components
2. Installation of updated Captiva process files(IAP) and custom modules created by Wave development
3. Update server license files
4. Import users and groups from AD
5. Apply AD groups/users privileges to process and/or system functionality.
6. Test Upgraded Captiva installation
7. Upgrade Captiva Client Stations to 6.5 sp1
    Upgrading Networker
The upgrade process for Networker will consist of the following steps:

8. In place upgrade of the Networker Servers

    a. Modify NMD files to match new production servers

    b. Configure xPlore to back up outside of NMD

Appendix A - Glossary

This glossary will define the important terms and concepts employed in the use case models.

Add other items as listed at the end of the table. Also, separate these table into sections as: Business Terms, Technical Terms, etc, You may separate the glossary per document – for example, business terms listed in Solution Document and Tech terms defined in here.

TERM	DEFINITION
DR	Disaster Recovery. A process whereby one site takes on 100% of the functionality of another site, and where the switchover is performed manually.
ECM	Electronic Content Management
HA	High Availability. A process whereby an individual component can fail and a second component is immediately available (**ZERO downtime**).
HBA	Host Bus Adapter. In general, refers to the adapter required to attach remote equipment utilizing Fiber Channel.
Replication	The process by which data is copied or mirrored from one site to another. This may either be immediate (synchronous) or delayed/scheduled (asynchronous).
TAD	Technical Architecture Design
Documentum Terms	
WebTop	A WDK application which serves as the primary client interface for users that needs to access the Documentum Content Management System.
WDK	Web Developer Kit. A web application framework which serves as the foundation for Documentum web client products. The framework provides pre-built components, actions, and configurations, and has been used to build products such as Documentum Administrator and WebTop. WDK is also customizable, and can be used to build completely custom applications, or can be extended to create custom versions of existing applications...
DA	Documentum Administrator. A WDK application which serves as an administrative console for administrators. This application extends the functionality of WebTop.
DMCL	Documentum Client Library. Manages the communication

	between the client and the Content Server.
JNI	Java Native Interface. Programming framework that allows Java code running the Java virtual machine to call and be called by native applications (programs specific to a Hardware and operating system platform) and libraries written in other languages, such as C, C++ and assembly.
WP	Web Publisher. A WDK application which provides web site design, editing, and publishing capabilities.
RPS	Retention Policy Services (RPS) is a WDK-based application that is ideally suited to manage the disposition of your records from a legal standpoint.
RM	Records Manager facilitates the use of lifecycles and retention policies into the management of your records
RMA	Records Manager Administrator client (RMA) is ideally suited to manage all aspects of records management requirements which includes file plans, security, immutability, access controls and finally the retention requirements
DocBase	The term used to refer to a repository, from the developer's point of view. This term is interchangeable with the term "repository."
Repository	The repository is a combination of data stored within the database, and associated content stored on a file system (or SAN). This is the term generally used by those outside of the development community. It is interchangeable with the term "DocBase."
DCO	Documentum Client for Outlook. This is a product which exposes Documentum functionality within the Microsoft Outlook Client.
DM_*objecttypename*	Documentum utilizes one or more tables and/or views within a database for each "object." An object is classified by type and most are placed within a hierarchy of objects. Each object may have attributes, and others may have attributes and content. Objects are used to hold configuration information, may represent documents, etc. Additionally, objects may be extended (much like classes in JAVA). For example: dm_document is the object type used to represent documents. It extends the functionality of dm_sysobject, which forms the basis for nearly all objects within a repository.
BPM	Business Process Manager. This is an enhanced version of the Workflow Manager which is distributed with Documentum. This product provides a number of pre-written templates and functions, and in general, is used to create Documentum Workflows/Business Processes.
BPS	Business Process Services. The service portion of the Business Process suite.
DQL	Documentum Query Language. A superset of SQL. This is the language used to query a Documentum repository. Unlike SQL, DQL understands Documentum objects, and as a result, allows queries to be performed against objects. DQL also properly handles Documentum features such as versioning and security.
Database Terms	

SQL	Structured Query Language. A standard language used to query databases and create, update, retrieve, and delete information.
Other Third Party Products	
CR	Crystal reports

Appendix F - Existing Documentum Software Component List

Model	Description	Qty
456-102-275	CAPTIVA ATTENDED CLIENT	1
456-102-279	CAPTIVA EXPORT FOR EMC - NC	1
456-102-273	CAPTIVA SCANPLUS MODULE (STANDARD)	1
456-102-265	CAPTIVA SERVER VOL + ADV RECOG +100K PPY PERPETUAL	1
456-102-262	CAPTIVA STD SERVER + ADV RECOG TEST/DRS 10K PPY	1
AIS-MC	AUTHORING INTEGRATION SERVICES CORE	2
BIZ-ACTVT-MON	BUSINESS ACTIVITY MONITOR MULTI-CORE	2
CNTNT-SERVER	CONTENT SERVER ST	700
BULDOSER	CROWN SOFTWARE BULDOSER CPU	2
456-010-843	DISPATCHER FOR IA CLASSIFICATION < 9,125,000 PPY	1
456-010-856	DISPATCHER FOR IA EXTRACTION < 9,125,000 PPY	1
456-010-898	DISPATCHER MANAGER CLIENT	1
456-010-894	DISPATCHER VALIDATION MODULE (10 CLIENTS) WSTN	1
DTS-1	DOCUMENT TRANSFORMATION SVCS CPU	2
ADMNSTRTR	DOCUMENTUM ADMINISTRATOR ST	2
DEVELOPSTUDIO	DOCUMENTUM DEVELOPER STUDIO ST	2
FORMS-BLDR	DOCUMENTUM FORMS BUILDER ST	1
FORMS-USER	DOCUMENTUM FORMS USER ST	100
456-011-323	EMC DOCUMENTUM EXPORT FOR INPUTACCEL	1
456-011-324	EMC DOCUMENTUM EXPORT FOR INPUTACCEL-NOCHARGE	1
456-011-434	INPUTACCEL IMAGE GENERATOR	3
456-011-429	INPUTACCEL MULTI-DIRECTORY WATCH	4
456-011-248	INPUTACCEL SERVER - 9,125,000 PPY	1
456-011-400	INPUTACCEL SOFTWARE DEVELOPERS KIT	1
456-011-303	INPUTACCEL STANDARD EXPORT BUNDLE-NOCHARGE	1
456-011-285	INPUTACCEL UNIVERSAL CLIENTS - 10 PACK	2
IDS-SRC-MC	INTERACTIVE DELIVERY SERVICES SOURCE CORE	2
IDS-TAR-MC	INTERACTIVE DELIVERY SERVICES TARGET CORE	2
DGTL-AST-MGR	MEDIA WORKSPACE / DIGITAL ASSET MANAGER ST	1
MYD-OUTLOOK	MY DOCUMENTUM FOR MICROSOFT OUTLOOK	1
BUS-PROC-ANLZ	PROCESS ANALYZER ST	2
BUS-PROC-MGR	PROCESS BUILDER ST	2
PRC-ENGSTD-MC	PROCESS ENGINE CORE	2
BUS-PROC-S-MC	PROCESS INTEGRATOR CORE	2
BUS-PROC-NAV	PROCESS NAVIGATOR ST	5
BUS-PROC-SIM	PROCESS SIMULATOR ST	2
REC-MGRADMIN	RECORDS MANAGER ADMIN ACCESS ST	2
REC-MGR-EXT	RECORDS MANAGER CLIENT EXTENSION ST	50
REC-MGR-COORD	RECORDS MANAGER COORDINATOR ST	5
REPORTINGSVCS	REPORTING SERVICES INST	2
RET-POL-SV-MC	RETENTION POLICY SERVICES CORE	2
456-010-526	SCAN MODULE (LEVELS 1-3 ONLY)	15
WP-PAGE-BUILD	WEB PUBLISHER PAGE BUILDER	10
DCTM-WEB-PUB	WEB PUBLISHER ST	10
WEBTOP-SEAT	WEBTOP CLIENT ST	550

Appendix G1 – Riverside County User Agreement

Riverside County Enterprise
Information Systems Security Policy
User Agreement

I have read, understand and am fully aware of the County of Riverside Enterprise Information Systems Security Policy; and I agree to comply with the terms of this policy. I also agree to remain informed of and comply with future revisions to this policy.

As a user of the County's information systems, you will have access to sensitive resources that are connected through the County network. To assure security throughout the entire County network, it is critical that all users actively support and fully comply with the measures described in the Enterprise Information Systems Security Policy. Failure to comply can place the entire County network at serious risk; and users who fail to comply will be subject to disciplinary action.

Users of the County's information systems shall at all times act in accordance with all applicable laws and County policies, rules or procedures. Users shall not use County information systems in an improper or unauthorized manner.

User Name: _____

Signature: _____

Date: _____

Responsible Manager Approval Authority

Name and Title: _____

Signature: _____

Date: _____

This form shall be retained in department, district or agency files.

Appendix G2 – Riverside County Remote Access Agreement

Riverside County Enterprise
Information Systems Security Policy
Remote Access Agreement

I have read, understand and am fully aware of the terms of the County of Riverside Enterprise Information Systems Security Policy, especially as applied to remote users of the County's information systems; and I agree to comply with the terms of this policy. I also agree to remain informed of and comply with future revisions to this policy.

As a remote user of the County's information systems, you will have unique access to sensitive resources that are connected through the County network. To assure security throughout the entire County network, it is critical that all remote users actively support and fully comply with the measures described in the Enterprise Information Systems Security Policy. Failure to comply can place the entire County network at serious risk; and remote users who fail to comply will be subject to disciplinary action.

Remote users of the County's information systems shall at all times act in accordance with all applicable laws and County policies, rules or procedures. Remote users shall not use County information systems in an improper or unauthorized manner.

Remote User Name: _____

Signature: _____

Date: _____

Responsible Manager Approval Authority

Name and Title: _____

Signature: _____

Date: _____

This form shall be retained in department, district or agency files.

Appendix H1 – Hardware Configuration Details Worksheet
(Tyler to review and recommend any changes required)

	Hardware Description	Model	Version	Quantity	Environment	Other Details
1	**Web Server** Operating System Microsoft Windows 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 200 (Eagle Program Files and Reserved disk space)	Virtual Machine	current	4	Development	2 at Box Springs 2 at Gateway
2	**Application Server** Operating System Microsoft Windows 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 200 GB (Eagle Program Files and Reserved disk space)	Virtual Machine	current	4	Development	2 at Box Springs 2 at Gateway

	Hardware Description	Model	Version	Quantity	Environment	Other Details
3	**SQL Server (Clustered)** Operating System Microsoft Windows 2012 Database Microsoft SQL Server 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 500 GB (Eagle Program, DB and Data Files, and Reserved disk space)	Virtual Machine	current	4	Development	2 at Box Springs 2 at Gateway
4	**Web Server** Operating System Microsoft Windows 2012 Database Microsoft SQL Server 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 500 GB (Eagle Program, DB and Data Files, and Reserved disk space)	Virtual Machine	current	4	Test / Staging	2 at Box Springs 2 at Gateway
5	**Application Server** Operating System Microsoft Windows 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 200 (Eagle Program Files and Reserved disk space)	Virtual Machine	current	4	Test / Staging	2 at Box Springs 2 at Gateway

	Hardware Description	Model	Version	Quantity	Environment	Other Details
6	**SQL Server (Clustered)** Operating System Microsoft Windows 2012 Database Microsoft SQL Server 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 4GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 500 GB (Eagle Program, DB and Data Files, and Reserved disk space)	Virtual Machine	Current	4	Test / Staging	2 at Box Springs 2 at Gateway
7	**Web Server** Operating System Microsoft Windows 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 16GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 200 GB (Eagle Program, DB and Data Files, and Reserved disk space)	Virtual Machine	current	4	Production	2 at Box Springs 2 at Gateway
8	**Application Server** Operating System Microsoft Windows 2012 Host Processor: Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) Memory 32GB RAM 1000mbps Ethernet NIC SAN Drive Space: C = 60 GB (OS), D = 200 GB (Eagle Program, DB and Data Files, and Reserved disk space)	Virtual Machine	current	8	Production	4 at Box Springs 4 at Gateway

	Hardware Description	Model	Version	Quantity	Environment	Other Details
9	**<u>SQL Server (Clustered)</u>** Operating System Microsoft Windows 2012 Database Microsoft SQL Server 2012 Enterprise Host Processor: 2 Intel© Xeon© E5-2660 (8 core, 2.20 GHz, 20 MB) 64GB PCL-10600R-9 (Low voltage DIMM) RAM 2Gb 331 FLR Ethernet Adapter 4 Ports Local Disk Space: C = 60 GB (OS), D = 200 GB (Eagle Program Files and Reserved disk space) SAN Drive Space: LUN1 (RAID10) SQL DB Files LUN2(RAID5) 20TB Data	Based on HP DL 380GB	current	4	Production	2 at Box Springs 2 at Gateway

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Appendix H2 – Software Configuration Details Worksheet

(Worksheet to be completed by Tyler)

	Software Description	Vendor	Version	Quantity	Environment	Other Details
1						
2						
3						

Appendix H3 – Peripherals Configuration Details Worksheet

(Tyler to review and recommend any changes needed)

	Peripheral Description	MFG/Vendor	Model	Quantity	Other Details
1	Cash Drawers	M-S Cash Drawer	M-S Cash Drawer EP-102NW (locking) (Detachable RS-232 Star cord.) (Mounted under counter.)	4	
		M-S Cash Drawer	M-S Cash Drawer EP-125KL (locking) (Attached RS-232 Star cord.) (Over 1/2 mounted under counter.)	45	
2	Receipt Printers				
		Epson	TM-H6000IV (Confirm model works w/CARDS)		(Epson TM-H6000iii Discontinued)
3	Label Printers	ZEBRA / ELTRON	TLP2844 w/label peeler	55	
		Intermec (For additional page labels)	Easy Coder EZ3400, 3400, 3400e	6	
4	Barcode Wand Scanner	Metrologic	MS951	6	
5	Document Scanner	Kodak	i840	3	
		Fujitsu	fi-6770	1	
		Fujitsu	fi-5750c	10	

	Peripheral Description	MFG/Vendor	Model	Quantity	Other Details
		Fujitsu	fi-6770	1	
		Fujitsu	fi-5750c	10	
		Fujitsu	M4097D	5	
		Fujitsu	M3097DG	4	
		Fujitsu	M3096EX	1	
6	Map Scanner	Contex (Ideal Contex)	FSS4300	2	
7	Archive Writers (Makes film.)	Kodak	Document Archive Writer 4800	1	
		Kodak	Image Link Archive Writer 9620	1	
8	ID Cards Readers	Magtek	Mag Strip Reader 21040108		
9	Signature Pads	Topaz	USB Signature Pad T-L462-HSB-R		
10	Credit Card Readers				

Appendix H4 – Configuration Parameters and Settings
(To be completed by Tyler)

Item Number	Description	Parameter	Setting	Environment	Other Details

Appendix I – ACR Network Design Diagram

5 Functional Requirements

5.1 Attachment REQ – Functional Requirements

Section	Sub-section	Unique Req#	Requirement Description	Tyler's-RFP-Response	Tyler's RFP Comments
Accounting	Accounting- Reconciliation & Deposits	ACT1.10	Ability for the accounting staff to assist satellite offices' staffs through system to help out in resolving accounting issues	Existing Core Product	
Accounting	Accounting- Reconciliation & Deposits	ACT1.11	Ability for accounting staff to correct cashiering errors, and for system to maintain an audit trail of correcting entries and provide a drill down capability for research purposes	Existing Core Product	
Accounting	Accounting- Reconciliation & Deposits	ACT1.12	Ability for accounting staff to specify selected locations, section or station when generating reports	Existing Core Product	
Accounting	Accounting- Reconciliation & Deposits	ACT1.13	Ability for the Accounting system to balance the amounts of all transactions shown on each individual report against the amount collected at the station	Existing Core Product	
Accounting	Accounting- Reconciliation & Deposits	ACT1.14	Ability to specify the amount and the general ledger account code for recording overpayments, called LONGS (currently defined as overpayments of less than $10)	Existing Core Product	
Accounting	Accounting- Reconciliation & Deposits	ACT1.15	Ability for the system to account for LONGS by customer/by transaction	Existing Core Product	

Accounting	Accounting-Reconciliation & Deposits	ACT1.16	Ability for authorized accounting staff to make correcting entry to adjust deposit discrepancies	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.17	Ability to generate appropriate overage/shortage forms needed for reporting to ACO	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.18	Ability to keep track and generate reports of customer account balances by transaction detail (receivable/payable), separating refunds due to customers and receivables due from customers	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.19	Ability to generate request for refund checks	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.2	Ability for authorized accounting staff to perform cashiering function (e.g. to reconcile and deposit title company checks, returned checks replacements, etc.)	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.21	Ability to post payments to customer accounts	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.22	Ability to perform adjusting entries for various reasons, such as bad checks, etc.	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.23	Ability to charge customer fees such as "fee on returned checks" (together with notice/letter to customer), and make the appropriate entries to record the returned check as well as replacement checks	Existing Core Product

Accounting	Accounting-Reconciliation & Deposits	ACT1.24	Ability for the system to have a clearing account	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.25	Ability to make deductions to clearing account and post funds to revenue accounts	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.26	Ability to account for daily collections, and upon approval by a supervisor through the workflow process, record to the appropriate revenue GL accounts	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.3	Ability to flag a receipt that is a "No Charge"	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.4	Ability for the system not to allow further processing of transaction unless payment is received or flagged as a "no charge"	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.5	Ability to set up deposit locations	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.6	Ability to view transaction details and related document images for the purpose of reconciling actual daily bank deposits to system-reported balances, by section and by grand total. The level of detail should be such that Accounting will be able to trace the source of the discrepancies by section/location/station/staff member.	Existing Core Product
Accounting	Accounting-Reconciliation & Deposits	ACT1.7	Ability to print all activity and reconciliation reports generated from daily cashiering activities	Existing Core Product

Accounting	Accounting-Reconciliation & Deposits	ACT1.8	Ability to automatically reconcile the deposits	Existing Core Product	Bank deposit reconciliation is supported but it does require a human to do so (not done automatically).
Accounting	Accounting-Reconciliation & Deposits	ACT1.9	Ability for satellite offices to perform cashiering function, processing of bank deposits, and performing deposit reconciliations	Existing Core Product	
Accounting	Distribution	ACT2.1	System should produce an output report that is compatible with PeopleSoft Financials showing the distribution of funds to the appropriate GL accounts	Existing Core Product	Text files can easily be created and automatically scheduled and produced, requiring little, if any, staff involvement.
Accounting	Distribution	ACT2.2	Ability for lead staff members to configure and create production distribution reports	Existing Core Product	
Accounting	Distribution	ACT2.3	Ability to drill down on any account balance to show supporting transaction details such as transaction date, document recording date, and corresponding transaction amounts	Existing Core Product	
Accounting	Accounts Management	ACT3.1	Ability to set up customer accounts by type of entity (Title Co, Bank, Government Institution, Public, etc.)	Existing Core Product	

Accounting	Accounts Management	ACT3.10	Ability to generate customer statements that include the master account with the option to provide breakdown of sub accounts	Existing Core Product
Accounting	Accounts Management	ACT3.11	Ability to generate customer statements for selected sub accounts	Existing Core Product
Accounting	Accounts Management	ACT3.12	Ability to schedule an automated task to produce designated billing statements, either on a recurring or exception basis	Existing Core Product
Accounting	Accounts Management	ACT3.13	Ability to keep track of customer inquiries with a notes section	Existing Core Product
Accounting	Accounts Management	ACT3.14	Ability to query customer account information	Existing Core Product
Accounting	Accounts Management	ACT3.15	Ability to run aging reports on accounts	Existing Core Product
Accounting	Accounts Management	ACT3.16	Ability to track accounts receivable	Existing Core Product
Accounting	Accounts Management	ACT3.17	Ability to generate detailed customer billings	Existing Core Product
Accounting	Accounts Management	ACT3.18	Ability to produce shipping documents along with an invoice	Existing Core Product
Accounting	Accounts Management	ACT3.19	Ability to generate detailed customer billings with various custom attributes	Existing Core Product
Accounting	Accounts Management	ACT3.2	Ability to have different attributes for customer accounts, e.g. Credit/No Credit, etc.	Existing Core Product
Accounting	Accounts Management	ACT3.3	Ability to track form of payment	Existing Core Product

Accounting	Accounts Management	ACT3.5	Ability to set up accounts for specific types of services (certified copies, Assessor billings, environmental filings, FBN, etc.)	Existing Core Product
Accounting	Accounts Management	ACT3.6	Ability to set up different types of charge accounts with different credit terms, daily, monthly, etc.	Existing Core Product
Accounting	Accounts Management	ACT3.7	Ability to accept ACH payments, in addition to other forms of payments (cash/credit, etc.)	Existing Core Product
Accounting	Accounts Management	ACT3.8	Ability to create and generate customer statements on demand, either electronic or print, that include supporting documentation	Existing Core Product
Accounting	Accounts Management	ACT3.9	Ability to email electronic statements to the customer	Existing Core Product
Accounting	Transfer Tax	ACT4.1	Ability to calculate Transfer Tax correctly depending on the TRA	Existing Core Product
Accounting	Transfer Tax	ACT4.2	Ability for staff members to set up what document types require a PCOR and workflow	Existing Core Product
Accounting	Transfer Tax	ACT4.3	Ability to collect transfer tax based on multiple TRAs and multiple rates of transfer tax	Existing Core Product
Accounting	Transfer Tax	ACT4.5	Ability for accounting staff to correct transfer tax-related deposit discrepancies and for system to maintain an audit trail of these corrections and make information available	Existing Core Product

Accounting	Transfer Tax	ACT4.6	Ability to request, through a workflow process, for updating transfer tax rates	Existing Core Product	
Accounting	Transfer Tax	ACT4.7	Ability to bill for transfer tax outside of the normal document recording process, e.g., corporate merger where no deed is recorded	Existing Core Product	
Accounting	Reports	ACT5.1	Ability to provide a variety of reports (Current environment has approximately 70 Accounting reports, such as Receivables reports, Payables reports, Revenue reports, Receipts reports, etc.)	Existing Core Product	EagleRecorder & EagleClerk have a large number of standard reports. Reports not currently available can be provided after the requirements are known.
Clerk	General	CLK1.1	Ability for all Clerk modules to capture and track the Clerk Office location where each service/transaction was executed	Existing Core Product	
Clerk	General	CLK1.10	System should have functionality that enables staff members to scan documents from their desks and attach them to electronic records	Existing Core Product	
Clerk	General	CLK1.11	Ability to update and reprint multiple copies of Clerk Filing Labels after the original filing	Existing Core Product	
Clerk	General	CLK1.12	Ability to update and reprint multiple copies of Official Recording Labels after the original filing	Existing Core Product	

Clerk	General	CLK1.13	Ability to update and reprint multiple copies of all forms, filings, oaths and certificates after their original filings	Existing Core Product
Clerk	General	CLK1.14	Ability for individual staff members to configure each Clerk module with the following print settings: • Printer trays • Simplex/duplex printing • Paper type	Existing Core Product
Clerk	General	CLK1.15	Each Clerk office location should have the functionality to capture and store digital photographs	Existing Core Product
Clerk	General	CLK1.16	Each Clerk office location should have the functionality to create, print and read barcode labels	Existing Core Product
Clerk	General	CLK1.17	Each Clerk office location should have the functionality to create and print registration cards	Existing Core Product
Clerk	General	CLK1.18	Ability to search and cross-reference all Clerk File Numbers with their associated Official Recording Numbers and images	Existing Core Product
Clerk	General	CLK1.19	Application should allow dual monitor configuration for counter staff members and customers to view separate screens	Existing Core Product
Clerk	General	CLK1.2	System should automatically detect and capture the issuing staff member's name and date/time on all Clerk applications/filings	Existing Core Product

Clerk	General	CLK1.21	All Clerk records must be indexed by module to allow for quick and accurate searching and reporting capability	Existing Core Product
Clerk	General	CLK1.22	Ability to search all Clerk modules on the following: • Clerk Filing Numbers • Official Recording Numbers • File Date • Applicant's Name • Business Name • Clerk Module • Office Location • Issuing Clerk Name • Solemnizer's Name • Lead Agency • Project Title	Existing Core Product
Clerk	General	CLK1.23	Ability for Official Recording Labels to meet all County Recorder labeling requirements	Existing Core Product
Clerk	General	CLK1.24	Ability for application to print electronic labels directly on all documents in lieu of printing labels	Existing Core Product
Clerk	General	CLK1.25	Ability for Electronic stamp/labels that are printed directly on a document to include: Clerk's Filing label w/ barcode and Official Recording label w/ barcode	Existing Core Product
Clerk	General	CLK1.26	Ability to print a coversheet with barcodes in lieu of labels for standard and supporting documentation	Existing Core Product

Clerk	General	CLK1.27	Ability for all Clerk Filing labels to display the following: • Clerk File Number for each module • ACR Department Head Name • Issuing Clerk's Name • Issuing Clerk's Signature • Current date • Page count • Fee and Receipt Number (where applicable)	Existing Core Product
Clerk	General	CLK1.28	Ability for staff to use label barcodes to search and retrieve electronic records and to associate scanned document to specific electronic record	Existing Core Product
Clerk	General	CLK1.29	Ability for lead staff to delete or override original and/or supporting scanned document images with updated versions	Existing Core Product
Clerk	General	CLK1.3	Ability for all Clerk office locations to simultaneously issue unique and sequential Clerk File Numbers (for all Clerk modules)	Existing Core Product
Clerk	General	CLK1.30	Ability to cancel any Clerk transaction prior to cashiering or issuing a Clerk File number	Existing Core Product
Clerk	General	CLK1.31	Ability for system to capture and track duration of select Clerk transactions for productivity assessment	Existing Core Product
Clerk	General	CLK1.4	Ability for all Clerk office locations to simultaneously issue unique and sequential Official Recording Numbers (for applicable Clerk modules)	Existing Core Product

Clerk	General	CLK1.5	Ability to generate and print all Clerk forms and customer applications	Existing Core Product
Clerk	General	CLK1.6	Ability to capture, view and print notes that are input by staff members on all Clerk modules	Existing Core Product
Clerk	General	CLK1.7	Ability to enter and update Notes on all Clerk modules before and after the customer application/filing is recorded	Existing Core Product
Clerk	General	CLK1.8	Ability to generate a preview screen for customers to review and verify all application content when they are at the counter	Existing Core Product
Clerk	General	CLK1.9	Ability for preview screen to display all application content on one continuous page	Existing Core Product	Depending upon the amount of information and the screen resolution, a scroll bar may be invoked when too much information is presented.
Clerk	Translations	CLK10.1	Ability to fill-out and print Certificate of Translation Form template	Existing Core Product	
Clerk	Translations	CLK10.2	Ability to edit the content and layout of Certificate of Translation Form template	Existing Core Product	All modifications to the forms can be done through system setup.
Clerk	Translations	CLK10.3	Ability to cashier Certificate of Translation Form	Existing Core Product	
Clerk	Certified Copies	CLK11.1	Ability to search and select FBN, Proof of Publications and Confidential	Existing Core Product	

			Marriage records for certified copy	
Clerk	Certified Copies	CLK11.2	Ability to reprint selected FBN filing	Existing Core Product
Clerk	Certified Copies	CLK11.3	Ability to resize, crop, reposition and print preview selected Confidential Marriage Certificates	Existing Core Product
Clerk	Certified Copies	CLK11.4	Ability to reprint Confidential Marriage Certificate on bonded paper	Existing Core Product
Clerk	Certified Copies	CLK11.5	Ability to input and capture Purchased By and Notes history on all Certified Copies of Confidential Marriage Certificates	Existing Core Product
Clerk	Certified Copies	CLK11.6	Ability to scan in all supporting documents against Confidential Marriage record (i.e. Court Orders)	Existing Core Product
Clerk	Certified Copies	CLK11.7	Ability to cashier purchase of certified copies for FBNs and Confidential Marriage Certificates	Existing Core Product
Clerk	Letters (Rejections/Expiration s)	CLK12.10	Ability to scan in supporting documents against electronic letter record	Existing Core Product

				Existing Core Product
Clerk	Letters (Rejections/Expirations)	CLK12.11	Ability to input and capture the following data against letter record: • Customer name • Business name • Address • Issuing Clerk name • Issuing Clerk's phone number • Rejection date/time • Check number • Check amount • Rejection reason • Notes	Existing Core Product
Clerk	Letters (Rejections/Expirations)	CLK12.12	Ability to search all letter records based on Customer name, Business name, Clerk Filing number, Official Recording number and Check number	Existing Core Product
Clerk	Letters (Rejections/Expirations)	CLK12.13	Ability to import all existing County Clerk's letter templates into new letter module	Existing Core Product
Clerk	Letters (Rejections/Expirations)	CLK12.14	Ability to administer letter templates in regards to content, formatting, field mapping, master template file path, etc.	Existing Core Product
Clerk	Letters (Rejections/Expirations)	CLK12.15	Ability for application to schedule the creation and printing of specific letters based on predefined criteria (e.g. Marriage License expiration date will trigger 60 day marriage expiration letters)	Existing Core Product

Clerk	Letters (Rejections/Expir ations)	CLK12.2	Ability to create and edit all fillable letter templates. ("Templates are currently maintained in County's share drive folder.)	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.3	Ability to print and reprint all fillable letter templates	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.4	Ability to generate all applicable letters directly within a specific Clerk module such as Marriage, FBN, etc.	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.5	Ability for all letters to print the Local Office Contact Information on its letter head	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.7	Ability to associate and link saved rejection letters to other Clerk module records, if they exist (such as Marriage License Expiration Letter tied to Marriage License record)	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.8	Ability for all letters to be populated either by system pulling in select data from associated Clerk record (if they exist) or manually populated by staff	Existing Core Product
Clerk	Letters (Rejections/Expir ations)	CLK12.9	Ability to generate multiple letters against the same Clerk record (e.g. Marriage, FBN, etc.)	Existing Core Product

Clerk	Online/Kiosk Modules	CLK13.1	Ability for the customer to review, submit and print the following Clerk applications from the Web: • Marriage Licenses • FBN • Notary • Environmental Filings • Deputy Commissioner of the Day • All Registrations (Legal Document Assistant (LDA), Unlawful Detainer Assistant (UDA), Professional Photocopier (PP), Process Server (PS) and Humane Officer (H))	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.10	Ability to have the Notary Issued Confidential License data pull into marriage record with a previously reserved license number	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.11	Ability for all online and kiosk submissions to go into separate temporary queues based on submission mode (online or kiosk) and Clerk application type	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.12	Ability for staff member to define and administer the time duration after which online and kiosk submissions will be deleted from their temporary queues	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.13	All online and kiosk modules should match the look and feel of the County's ACR web site	Existing Core Product

Clerk	Online/Kiosk Modules	CLK13.2	Ability for online modules to offer the customer limited search and retrieval functionality for FBN, Registrations and Notary filings	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.3	Ability for the customer to submit the following Clerk applications from on site kiosks: • Marriage Licenses • FBN • Notary • Environmental Filings • Deputy Commissioner of the Day • All Registrations (Legal Document Assistant (LDA), Unlawful Detainer Assistant (UDA), Professional Photocopier (PP), Process Server (PS) and Humane Officer (H))	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.7	Ability for online and kiosk modules to provide customers with the following: • Filing requirements • Supporting document requirements • Payment options • Nearest Clerk Office locations • Submission Reference number • Submission Expiration date	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.8	Ability for staff members to search and review all online and kiosk submissions using the customer's reference number and application type	Existing Core Product
Clerk	Online/Kiosk Modules	CLK13.9	Ability for staff members to search online and kiosk submissions of Notary Issued Confidential Licenses	Existing Core Product

Clerk	Roster of Public Agencies	CLK14.1	Ability to capture and store the Statement of Facts Roster of Public Agency Filings data which includes: • Legal name of Public Agency • Address • File date • Date signed • Signed by	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.10	Ability to generate multiple Clerk Filing Labels with barcode for all Roster of Public Agency supporting documents	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.11	Ability to configure and capture Roster of Public Agency File Number in the following format (Sample: "RPA-######") • "RPA" for Roster of Public Agency • 6 digit unique number (tied to Agency/Individual and cannot be reused)	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.12	Ability to scan in Registration application with wet signature and supporting documentation against electronic record	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.13	Ability to perform one time import of existing Access database of current Roster of Public Agency Filings into new system	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.2	Ability to capture and track whether Roster of Public Agency filing is new or an update	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.3	Ability to search Roster of Public Agency Filings by Legal name of Public	Existing Core Product

Agency			
Clerk	Roster of Public Agencies	CLK14.4	Ability to scan in the new Statement of Facts Roster of Public Agency Filing document against electronic record	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.5	Ability to scan in the updated versions of the Statement of Facts Roster of Public Agency Filing document against electronic record	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.6	Ability to print Roster of Public Agency Filings	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.7	Ability to generate report of all most current Roster of Public Agency Filings index	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.8	Ability to generate report of the complete Roster of Public Agency Filings index	Existing Core Product
Clerk	Roster of Public Agencies	CLK14.9	Ability to generate Roster of Public Agency File Number and Clerk Filing Label with barcode	Existing Core Product
Clerk	Reports & Inventory	CLK15.1	Ability to create and maintain inventory logs which include but are not limited to the following: Men's/Women's Rings, Disposable Cameras, Weddings Videos/DVD, etc.	Existing Core Product
Clerk	Reports & Inventory	CLK15.11	Ability to filter all Notary reports on office locations, date range, issuing/processing Clerk, File Date and File Number	Existing Core Product