

REGISTRAR OF VOTERS
Records Management Plan

General Information:

Madonna Fobar is the Records Management Coordinator for the Registrar of Voters (ROV) and is the contact for record retention questions and issues. Global & Departmental retention schedules are found in our Records Management Manual and on the S-drive and the P&C Intranet [webpage](#).

The ROV binder called "Records Management Manual" contains the following documents:

1. Records Management Resource Manual
2. Board of Supervisors Resolution 08-079 "Records Management and Destruction Resolution"
3. Chief Administrative Manual Policy Item No. 0040-09 "Document and Records Management Program"
4. Chief Administrative Manual Policy Item No. 0040-09-01 "Email; Verbal Communications; Voice Mail"
5. Chief Administrative Manual Policy Item No. 0040-09-02 "County Data/Information – Classification, Protection Level, and Proper Security"
6. Chief Administrative Manual Policy Item No. 0040-09-03 "Public Records Act Procedures"
7. Chief Administrative Manual Policy Item No. 0100-01 "Destruction and Purging of Records"
8. Board of Supervisors Policy No. A-129 "Compliance with the Countywide Records Management Program"
9. California Codes Evidence Codes "Section 1550-1553"
10. California Codes Government Codes "Section 12159-12179.1"
11. California Codes Government Codes "Section 81000-81016" (Relates to FPPC Codes)
12. Form AUD 100-1 Application for Destruction of Records
13. County of San Diego "Global Retention Schedule"
14. ROV "Records Retention Schedule"

Responsibilities:

Identify who is responsible for the following:

- Communicating Records Management information throughout the department.
Madonna Fobar, Administrative Analyst III

- Tracking and handling of active and inactive paper records.
Elvira Vargas, Precinct Services, Campaign Services
Maria Alvarado - Voter Services, VBM
Norma Westbrook – Voter Services, Petition & Registration
Laura Kelly – Election Services, Logistics & Warehouse
Louie Ravana – Election Services, Logistics & Warehouse
Pamela Jordan – Election Services, PW Recruitment
Diane ElSheikh – Election Services, PW Training
Sirenia Jimenez – Precinct Services, Maps & Polls
Pete Arthur – Precinct Services, GIS/Cartographics
Madonna Fobar – Admin. Services, Accounting & Finance
Monica Garcia – Admin. Services, Personnel/Payroll

- Storage and retrieval of paper records.
Applicable Division Contacts

- Tracking and reviewing of electronic records.
Department Technical Services Division Chief

- Authorizing the destruction of records (paper or electronic).
Holly Davidson, Precinct Services
Erin Mayer, Election Services
Robert Pennisi, Voter Services
Madonna Fobar, Administrative Services
Charlie Wallis, Technical Services
Michael Vu, Registrar of Voters

Paper Records:

- Describe how paper records are tracked.

Paper records are tracked by individual programs within the department. Records older than one year or election records are stored on-site in the department's warehouse. Warehouse staff controls on-site storage to ensure records are destroyed in a timely fashion per the approved Department or Global Record Retention Schedules.

- Describe the process for storage preparation (boxes).

Individual programs are responsible for boxing and labeling their own files. This ensures that like files are kept together and retention dates remain constant. The boxes are submitted to Warehouse staff for tracking and storage, per the department's Records Management Plan

- Explain where your departments' active paper records are stored.

Active paper records are stored in file cabinets within the individual programs in ROV.

- Define when a paper record becomes inactive and identify where inactive paper records are stored.

Records older than one fiscal year or election records are stored on-site in the department's warehouse.

- Describe your department procedures for retrieval of off-site records.

The ROV does not have any off-site records.

- Describe your department procedures for dissemination of records upon request.

Dissemination of records upon request is done upon approval of the Registrar of Voters, County Counsel or Auditor & Controller.

- Describe how vital records are identified and prepared for long term storage.

The Registrar of Voters identifies vital records as records that are essential to reconstruct and continue operations of the department and to protect its organizational interests in the event of a disaster or an emergency affecting the conduct of business. Vitals records are stored on-site in the department's warehouse and electronic vital records are stored off-site with the IT vendor, Hewlett Packard (HP).

- Describe your process for the destruction of paper records and documents.

At the onset of the records retention date, an Application for Destruction of Records (AUD 100-1) is completed and submitted to the Auditor & Controllers (A&C) for review and approval. When A&C returns the approved AUD 100-1 form, records are shredded in a secure shredder and the bin is picked up by the County's contracted vendor. The original approved AUD 100-1 document will be filed and a copy of the approved AUD 100-1 document will be submitted to Record Services. Record Services will update the information in the Record Manager system.

Electronic Records:

- Describe which electronic records in your department are considered actual original records.

The DIMS Election Management System, Voter Registration System, and Signature Retrieval System are considered actual original records. The original source of an electronic voter record is a paper affidavit that arrives from several sources in different formats. The paper affidavit is scanned into an image file and attached to the election voter record for reference.

SouthTech System's Campaign Document software is used to maintain campaign financial disclosure information for local filers. Forms received are scanned into image files and attached to electronic filer records maintained in the database. The scanned image does not become the "official" record until the retention period for the Campaign or Committee is reached; all paper records are maintained for a minimum of four (4) years in our office.

- How and where are electronic records stored and tracked?

Electronic records are backed-up on a daily, weekly, monthly, quarterly, bi-annual and annual basis. The backup electronic records are stored at one of HP's offsite data centers (Plano Texas or Tulsa, Oklahoma).

- If your department uses an electronic document management system, identify which one.

The ROV is using the County of San Diego's standard "Documentum" system to manage paper records. The ROV is using DIMS Election Management System, Voter Registration System, and Signature Retrieval System to manage electronic records. We also use SouthTech System's Campaign Document software to maintain campaign financial disclosure information for both state and local filers.

- Explain your departments' procedures for the review and destruction of electronic records. Explain if electronic records are destroyed in conjunction with the Global or Departmental Retention Schedule.

Paper records are stored in the Warehouse after one year or after an election. The records are tracked via the Documentum Record Manager system. Several times a year, Warehouse staff or Administrative staff will review the list of records to verify if any records are ready to be destroyed.

Staff will complete an Application for Destructions of Records (AUD 100-1) and submit the document to A&C for review and approval. Once A&C has returned the approved AUD 100-1 form, records are shredded in a secure shredder and the bin is picked up by the County's contracted vendor.

For electronic records, staff will complete an Application for Destructions of Records (AUD 100-1) and submit the document to A&C for review and approval. Once A&C has returned the approved AUD 100-1 document, the electronic records will be destroyed.

The original AUD 100-1 document will be filed. A signed copy of the On-Site Destruction form will be submitted to Record Services. (The A&C sends a copy of the approved AUD-100-1 to Record Services.) Record Services will update the information in the Record Manager system.

Both paper and electronic records are destroyed in conjunction with either the Global or the Department Retention Schedules.

- Describe your departments' data migration plan for long-term preservation of electronic records?

The ROV is using the County of San Diego's standard "Documentum Records Manager" system to manage paper records. The ROV is using DIMS Election Management System, Voter Registration System, and Signature Retrieval System to manage electronic records and SouthTech System's Campaign Document software for campaign financial disclosure information.

In case of litigation, a hold is placed on the appropriate records. Those records will not be destroyed until after the litigation is completed.

- If your department converts records to microfilm/microfiche/aperture cards/CD or scanned to an electronic file, explain when and how this happens. (Note that these records start off as paper, this is explaining the conversion process from paper to electronic). Explain what quality assurance processes are used.

Original paper records are scanned into the appropriate electronic system. Each paper record is endorsed so that it can be tracked. The paper record is then boxed and submitted to Warehouse staff for tracking and storage.

There is an audit trail for any changes made to an electronic record.

Electronic records are backed-up on a daily, weekly, monthly, quarterly, bi-annual and annual basis. The backup electronic records are stored at one of HP's offsite data centers (Plano Texas or Tulsa, Oklahoma).

