

## **APPENDIX J**

### **PROCEDURES FOR DOCUMENT SECURITY**

#### **1.0 Introduction**

The Division shall be responsible for incorporating and maintaining procedures to ensure the security of compliance documents issued to the public as official records of the LEIM program. These procedures shall be adhered to as stated and maintained to allow auditors to certify their validity.

#### **2.0 Electronic Security**

The primary security measure incorporated by the Division shall be to minimize the importance of hard documents. Wherever possible, the public shall not have access to documents that could be altered or forged to provide the ability to affect the emissions credits being provided by the program.

##### **2.01 Internal Document Security**

The Division shall create electronic forms for internal use only and provide inspection certificates and waiver certificates as backup documentation.

##### **2.01.1 Inspection Certificates**

Inspection certificates shall be accessible to the lane inspectors as blank forms which are completed with the appropriate information necessary to link the form permanently to a single vehicle. This information includes vehicle make, model, year, tag number (if available, if not this shall be provided upon issuance of a tag) and vehicle identification number. The inspection certificate shall also contain the time and date of the inspection as well as the inspectors identification number, and lane number, and the results of all inspections performed.

Upon successful completion of inspection, an inspection certificate shall be provided to the customer. In addition, electronic information shall be forwarded to the Division's computer system indicating that the vehicle passed or failed emissions; safety, evaporative system pressure test; and anti-tampering inspection. When a customer attempts to title or register a vehicle, the clerk shall enter the VIN or tag number into the computer. The vehicle inspection record shall be accessible by all the Division and Department personnel and shall display the vehicle's inspection status. The paper

certificate shall only be used in the event the Division computer system is down for any reason.

### **2.0.1.2 Waiver Certificates**

Waiver certificates shall be prepared when a particular vehicle fails the emission test(s) and cannot be repaired to the point where it would pass the test without an expenditure greater than the waiver amount. In this instance, the lane inspector or registration clerk requests that the DMV computer system access the electronic waiver form. The lane inspector or registration clerk then enters into the field that provides a waiver form. The computer system automatically transfers the appropriate data from the vehicle's inspection form to the waiver form. When the customer presents the appropriate repair receipts to the clerk inside the building, the clerk verifies and marks the receipts. The clerk shall then enter the approvable expenditures into the waiver certificate.

## **2.02 External Document Security**

The data base shall be protected from external access and modification by standard measures. Access shall be limited and password protected. Each level of access shall be read and write protected by different passwords. The DMV Program Administrator (or designee) shall limit access to completed files. A list shall be maintained by the Administrator detailing which persons have access to each area of the data base. The system shall also maintain a record of access to each area and record any changes made. The system shall generate a report of these activities on a monthly basis for review by the Administrator. This review shall ensure the security of documents maintained in the Division's data base.

## **3.0 Sticker Security**

- 3.01** The Division shall implement measures to ensure the security of all documents released to the public. Since electronic security measures are employed for all other documents **only window stickers** and renewal stickers which are affixed to the vehicle's tag are affected. The following measures shall be employed to maintain the security of those documents.

### **3.01.1 Window Stickers**

**Window stickers shall be issued to permit external identification of a vehicle's compliance status and to prevent theft of the sticker. Window stickers shall be issued by registration and title clerks when the vehicle has passed inspection and all fees**

have been paid. The sticker shall be placed on the inside lower left corner of the windshield by the customer. Each sticker shall be uniquely bar coded and numbered. The individual sticker's bar code shall be electronically scanned (or it's number shall be entered manually) to the vehicle's electronic file located in the Division's data-base.

Should a vehicle's window sticker be damaged or removed, a new replacement sticker shall be issued upon verification of the current registration status of the vehicle. At that time, a new sticker would be issued and the old sticker numbers canceled and the new number affixed to the vehicle's data file.

The Division's data base shall maintain data on the number of replacement windshield stickers issued and report them to the Administrator for monthly review.

### **3.01.2 Tag Stickers**

Upon successful completion of the inspection and registration processes, the Division shall issue a tag sticker which shall be affixed to the vehicle's tag in the lower right hand corner by the customer. This sticker allows external verification of a vehicle's compliance with registration renewal requirements. This sticker displays the year and date on which the vehicle's registration expires.

Should a vehicle's tag sticker be damaged or removed, a new sticker could be issued upon verification of the current registration status of the vehicle.

The Division's database shall keep statistics on the number of tag stickers issued (including replacements) and report them to the Administrator for monthly review.

### **3.01.3 General Procedures**

The Division shall maintain an inventory procedure for windshield stickers such that all windshield stickers are accounted for. This inventory shall include all windshield stickers issued as originals or replacements and all stickers that are lost or spoiled. This data shall be maintained on the Division's mainframe computer system. All branch office managers (or designees) shall have the ability to view the locations of the unused stickers and those stickers assigned to a specific vehicle.

Both the windshield and tag stickers shall be designed to prevent removal for theft. Attempts to remove the stickers shall result in the complete destruction of the sticker, rendering it unusable. Windshield stickers shall also be encoded with a unique bar code, and number.

All stickers, both windshield and tag, shall be stored in a secured location during non - working hours. Access to locked storage shall be limited to Division supervisory personnel who must supply stickers to personnel who issue them. During working hours, stickers shall be stored in a location where only Division personnel shall have access to them. Typically, stickers shall be out of reach of the public, whether observed or not.