

STATE OF CALIFORNIA  
**STANDARD AGREEMENT**  
 STD 213 (Rev 06/03)

AGREEMENT NUMBER <b>VC-7082</b>
REGISTRATION NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below:
- STATE AGENCY'S NAME  
**CALIFORNIA VICTIM COMPENSATION BOARD**
- CONTRACTOR'S NAME  
**COUNTY OF SANTA BARBARA, DISTRICT ATTORNEY'S OFFICE**
- 2 The term of this Agreement is: **JULY 1, 2017** through **JUNE 30, 2019**
3. The maximum amount of this Agreement is: **\$192,746.00**  
 One Hundred Ninety Two Thousand Seven Hundred Forty Six Dollars
4. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement.

Exhibit A – Scope of Work	3 Pages
Exhibit B – Budget Detail and Payment Provisions	3 Pages
Exhibit B-1 – Budget Page	1 Page
Exhibit C* – General Terms and Conditions (GTC 04/2017)	1 Page
Exhibit D – Special Terms and Conditions	9 Pages
Exhibit E – CalVCB CRC Specialist Monthly Activity Timesheet	1 Page
Attachment I – CalVCB Information Security Policy (Memo 17-008)	6 Pages
Attachment II – CalVCB Confidentiality Statement and Certification	4 Pages
Attachment III – CalVCB Fraud Policy (Memo 13-001)	2 Pages
Attachment IV – Investigation Referral Form	3 Pages
Attachment V – CalVCB Acknowledgement of Policies	1 Page
Attachment VI – Instructions for Completing Monthly Invoices	3 Pages
Attachment VII – County Purchase Request Form and Instructions	3 Pages
Attachment VIII – CalVCB County Inventory Form	1 Page
Attachment IX – CalVCB Asset Identification Form	2 Pages
Attachment X – Information Systems Security and Confidentiality Acknowledgement	2 Pages
Attachment XI – Acceptable Use of Technology Resources (Memo 17-005)	5 Pages
Attachment XII – Privacy Policy (Memo 17-010)	4 Pages
Attachment XIII – CalVCB Password Policy (Memo 17-012)	6 Pages

Items shown with an Asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto.  
 These documents can be viewed at <http://www.dqs.ca.gov/ols/Resources/StandardContractLanguage.aspx>

**IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.**

<b>CONTRACTOR</b>		<i>California Department of General Services Use Only</i>
CONTRACTOR'S NAME (if other than an individual, state whether a corporation, partnership, etc.) <b>COUNTY OF SANTA BARBARA, DISTRICT ATTORNEY'S OFFICE</b>		
BY (Authorized Signature) 	DATE SIGNED (Do not type) <b>5-27-17</b>	
PRINTED NAME AND TITLE OF PERSON SIGNING <b>Joyce E. Dudley, District Attorney</b>		
ADDRESS <b>1112 Santa Barbara Street, Santa Barbara, CA 93101</b>		
<b>STATE OF CALIFORNIA</b>		
AGENCY NAME <b>CALIFORNIA VICTIM COMPENSATION BOARD</b>		
BY (Authorized Signature) 		
PRINTED NAME AND TITLE OF PERSON SIGNING <b>VALINDA ROBERTS, DEPUTY EXECUTIVE OFFICER</b>		
ADDRESS <b>400 R STREET, SUITE 500, SACRAMENTO, CA 95811</b>		

Exempt per:

## EXHIBIT A

### SCOPE OF WORK

The California Victim Compensation Board (hereinafter, "the Board") and the District Attorney's Office agree that the intent of this contract is to establish a positive, collaborative relationship for effective operation of California's criminal restitution system.

#### 1. SCOPE OF WORK

The Board and the District Attorney's Office agree that:

- a. The Criminal Restitution Compact (CRC) Restitution Specialist (hereinafter, "Specialist") shall assist the prosecuting attorney to ensure proper imposition of the following:
  - i. Restitution orders in all cases involving an applicant who has filed an application with the Board and where monies have been paid or are expected to be paid on behalf of the direct victim or any other applicant;
  - ii. Restitution fines on all convicted offenders;
  - iii. Parole revocation restitution fines in all cases in which the offender receives a sentence that includes a period of parole;
  - iv. Diversion restitution fees in all cases in which the offender is diverted;
  - v. Probation revocation restitution fines in all cases in which the offender receives a sentence that includes a period of probation;
  - vi. Post-release community supervision revocation restitution fines in all cases in which the offender receives a sentence that is subject to post-release community supervision; and
  - vii. Mandatory supervision restitution revocation fines in all cases in which the offender receives a sentence that is subject to mandatory supervision.
- b. The Specialist shall be an employee of the District Attorney's Office, preferably at a level equivalent to a paralegal or above.
- c. The Specialist shall report to a supervisor designated by the District Attorney's Office, preferably a Chief Assistant or Deputy District Attorney and agreed to by the Board.
- d. The District Attorney's Office (or his/her designee) and -the Board's Executive Officer (or his/her designee) shall meet as necessary to discuss the scope of work (SOW) or any other aspect of this contract.
- e. The Specialist shall have access to the necessary court records to monitor cases associated with any applications filed with the Board as they proceed through the adult and juvenile criminal justice systems. The Specialist must contact the Board's Restitution Analyst, immediately with specific information to prevent any potential overpayments on initial or subsequent applications, if it is discovered the victim or applicant is no longer eligible as defined under Government Code sections 13956 and/or 13954 as follows:
  - Involvement in the crime
  - Lack of cooperation with law enforcement or the Board
  - Felon

## EXHIBIT A

### SCOPE OF WORK

- f. When the Specialist receives notice an applicant filed for assistance from the Board prior to the associated offender being sentenced, the Specialist shall determine the amount of assistance granted by the Board, if any, and provide this information to the District Attorney's Office for the purpose of obtaining a restitution order. The Specialist shall not provide the benefit category/type when losses are being requested during the trial stage of a criminal proceeding. If additional information is necessary from the Board's application processing system during the trial stage, the Specialist must obtain approval from the Board.
- g. The District Attorney's Office shall submit the Board's payment information (initial and subsequent), as described under Exhibit A.1a, to the court and request the court impose one or more of the following, as appropriate: a restitution fine; a diversion restitution fee; a probation revocation restitution fine; a parole revocation restitution fine; a post release community supervision revocation restitution fine; a mandatory supervision revocation restitution fine; a restitution order for an amount equal to that amount which the Board has paid on the associated application(s); and/or a restitution order for an amount "to be determined" (if the Board has not made a payment on the associated application(s)).
- h. If a case is forwarded to the probation department for completion of a pre-sentence investigation (PSI) report, the Specialist shall provide the Board's payment information and request that the probation department include the information in the PSI.
- i. The Specialist shall enter into the Board's Compensation and Restitution Computer System, Cares2, the final disposition status of juvenile and adult criminal cases associated with applications filed with the Board within thirty (30) calendar days of the judge imposing the restitution order and fine.
- j. After sentencing has occurred, the Specialist is required to ensure that the court's final decision (via the CR-110s and/or Minute Orders) is forwarded to the Board's Victim Pass Thru Unit, as well as the California Department of Corrections and Rehabilitation, Office of Victim and Survivor Rights' and Services (CDCR-OVSRS), or the local collection entity.
- k. The Specialist shall monitor in Cares2 the Board's applications associated with restitution orders imposed for an amount "to be determined" (TBD). The Specialist shall monitor TBD restitution orders via the Criminal Disposition Tracking System in the Post-Disposition Follow-Up Que. The Board's Custodian of Records (COR) shall assist the Specialist and other appropriate District Attorney's Office staff in preparing to have an offender returned to court for the imposition or modification of a restitution order by providing redacted bills, when necessary to substantiate any restitution orders requested. The Specialist shall notify the Board when it declines to seek a removal order to have an inmate transported to court for the imposition or modification of a restitution order when the amount of restitution sought is greater than \$1,500.
- l. The Specialist shall respond to the Board on probate-related matters within three (3) business days of a request for imposed and/or outstanding restitution fine information, order information, and offender information.
- m. The Specialist will cooperate with CDCR staff in the modification of restitution orders.
- n. The Specialist shall notify the Board's Restitution Analyst, upon discovery, that the applicant has filed a civil suit, vehicle insurance claim, Workers' Compensation claim, or any other type of

**EXHIBIT A**

**SCOPE OF WORK**

recovery that could be used to offset losses the applicant may have incurred as a direct result of the crime.

- o. The Specialist shall respond to the Board’s COR on restitution-related matters and/or the Board’s Hearing and Appeals staff within three (3) business days of a request.
- p. The Specialist shall facilitate contact, provide training, and attend meetings between the county collection entity(ies) to discuss ways of ensuring the collection of, as well as increasing the collections of, restitution orders and fines.
- q. The Specialist shall serve as a county resource on restitution issues, statutes, and case law.
- r. The Specialist and his/her supervisor shall review and acknowledge all Board’s policies as referenced in Exhibit D and Attachments outlined on the front cover of this contract (Std. 213), in accordance with the duties being perform under this contract.
- s. The Specialist must perform the work described in the SOW, Exhibit A. The Specialist shall document his/her time and activities by using the CalVCB CRC Specialist Monthly Activity Timesheet, Exhibit E. The District Attorney’s Office shall bill the Board only for the actual percentage of time the Specialist devotes to Board activities.

2. The project representatives during the term of this contract will be:

Requesting Agency: California Victim Compensation Board	County of Santa Barbara DA's Office
Name: Valinda Roberts, Deputy Executive Officer Administration and Finance Division	Name: Megan Riker-Rheinschild
Phone: (916) 491-3505	Phone: 805-568-2408
Fax: (916) 491- 6420	Fax:
Email: Restitution@victims.ca.gov	Email: <a href="mailto:mriker@co.santa-barbara.ca.us">mriker@co.santa-barbara.ca.us</a>

For additional information, direct your inquiries to:

CalVCB CRC Liaison:	Name: Tammy Newton
	Email: <a href="mailto:Tammy.Newton@victims.ca.gov">Tammy.Newton@victims.ca.gov</a>
	Phone: (916) 491-3678
CalVCB Contract Section:	Name: Ryan Metzger, Contract Analyst
	Email: <a href="mailto:Ryan.Metzger@victims.ca.gov">Ryan.Metzger@victims.ca.gov</a>
	Phone: (916) 491- 3877
CalVCB Accounting/Billing:	Name: Lynnette Freitag, Accounting Manager
	Email: <a href="mailto:Lynnette.Freitag@victims.ca.gov">Lynnette.Freitag@victims.ca.gov</a>
	Phone: (916) 491-3709

**EXHIBIT B**

**BUDGET DETAIL AND PROVISIONS**

1. INVOICING AND PAYMENT

- a. For services satisfactorily rendered, and upon receipt and approval of the invoices, the Board agrees to compensate the District Attorney's Office for actual expenditures permitted by the terms of this contract, and as reflected in the attached budget.
- b. Invoices shall include the contract number, billing month and year, employee name, position/classification, time base, salary and/or hourly rate, benefits, and all other applicable line items as reflected in the budget (Exhibit B-1). The District Attorney's Office will not invoice for more than the actual time the staff person(s) has devoted to the Board in a specific month. The District Attorney's Office shall submit the following backup documentation with their invoices:
  - CalVCB Monthly Activity Timesheet, Exhibit E, for each employee for the time period billed;
  - County timesheets for each employee for the time period billed;
  - Copy of the County's Accounting or Human Resources report displaying the salaries/wages and itemized benefits actually paid to each employee for the time period billed;
  - Itemize all operating and overhead expenses for the time period billed.
- c. Invoices and backup documentation shall be mailed no later than the 15<sup>th</sup> of the month to:

California Victim Compensation Board  
Attn: Accounting Section  
P. O. Box 1348  
Sacramento, CA 95812-1348
- d. Failure to provide the required documentation may result in the delay of processing the invoice and/or denial of payment.
- e. The District Attorney's Office shall submit an invoice for the month of June within thirty (30) calendar days after June 30<sup>th</sup> of each year during the term of this contract. The final reimbursement to the District Attorney's Office shall be contingent upon the receipt and approval of the final year-end invoice received by the Board.

2. BUDGET CONTINGENCY CLAUSE

- a. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this contract does not appropriate sufficient funds for the program, this contract shall be of no further force and effect. In this event, the Board shall have no liability to pay any funds to the District Attorney's Office or to furnish any other considerations under this contract and the District Attorney's Office shall not be obligated to perform any provisions of this contract.
- b. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the Board shall have the option to either cancel this contract with no liability occurring to the Board, or offer an amendment to the contract to the District Attorney's Office to reflect the reduced amount.

**EXHIBIT B**

**BUDGET DETAIL AND PROVISIONS**

- c. The District Attorney's Office shall be paid by the Board from the Restitution Fund. Any payments shall be contingent upon the availability of funds in the Restitution Fund. Any funds paid shall not be a charge upon any federal monies or state General Fund monies. Funds provided under this contract are not to be used for other activities and shall not be used to supplant those activities currently provided by county funds, or grants administered by the Public Safety and Victim Services Division, Office of Emergency Services.
- d. The Board reserves the right to disencumber contract monies at any time during the contractual relationship for reasons substantiated by the Board. Notification will be provided to the county before any action is taken.

3. PROMPT PAYMENT CLAUSE

The Board shall pay all properly submitted, undisputed invoices within thirty (45) days of receipt, in accordance with Chapter 4.5 of the Government Code Section 927.

4. PERIOD OF PERFORMANCE

The period of performance for this contract shall be two (2) years. Any and all amendments to this agreement shall be made in writing.

5. COST LIMITATION

The total amount of this agreement shall not exceed \$96,373.00 for fiscal year 2017/2018 and \$96,373.00 for fiscal year 2018/2019. Funding shall be contingent upon availability of funds and shall be at the sole discretion of the Board. The funding of this contract may be changed by written amendment to the contract, upon approval of the Board.

The District Attorney's Office shall submit a budget for Fiscal Year 2017/2018 by September 1, 2017 with this contract. The District Attorney's Office shall submit a proposed budget for Fiscal Year 2018/2019 no later than September 1, 2018. The CRC manager or designee shall provide written approval of the proposed budget(s) and any subsequent modification(s).

6. REDUCTION OF CONTRACT AMOUNT

The Board reserves the right to reduce the amount of the contract if the Board's fiscal monitoring indicates that the District Attorney's Office rate of expenditure will result in unspent funds at the end of the fiscal year or when deemed necessary. If a reduction does occur, the Board will provide a written explanation to the District Attorney's Office within thirty (30) days of said decision.

7. OPERATING EXPENSES

- a. The District Attorney's Office may charge expenses to various line-item as part of their operating expenses, such as supplies, rent, utilities, postage, telephone, travel, etc. Such expenses are generally identified as "direct costs." The District Attorney's Office shall ensure that expenses classified as "direct cost" are not included in the "indirect cost" or "overhead" category. Indirect costs are those costs that are incurred for a common or joint purpose or a cost that is not directly

**EXHIBIT B**

**BUDGET DETAIL AND PROVISIONS**

identifiable to the District Attorney's Office. The Board reserves the right to deny any expenses that are deemed ineligible by the state.

- b. The District Attorney's Office shall submit a copy of the indirect cost allocation plan with their budget demonstrating how and which operating expense line items are included in the calculate of the indirect cost rate. All costs included in the plan must be supported by formal accounting records which substantiate the propriety of such charges. Indirect costs will be reimbursed at a maximum rate of ten (10) percent of the total salary and fringe benefits.
- c. The Board reserves the right to deny any monetary adjustments to the contract due to Cost of Living Adjustments (COLAs) issued by the county.

**BUDGET WORKSHEET  
FY 2017 - 2019  
(Standard Agreement)**

Exhibit B-1  
County of Santa Barbara  
Agreement Number VCGC7082

County and Agency: SANTA BARBARA COUNTY DISTRICT ATTORNEY			Agreement VC-7082	
Personnel Expenses	2017-2018 BUDGET	2018-2019 BUDGET	Salary / Hourly Rate Range	Timebase (Paid by VCGCB)
<b>SALARIES AND WAGES</b>				
Name: Vacant - actively recruiting	57,074.71	57,074.71	30.28 - 37.14	100%
Name:				
Name:				
Name:				
<b>FRINGE BENEFITS</b>			<b>PERCENTAGE OF SALARY / DESCRIPTION</b>	
Name: Vacant - actively recruiting	29,280.74	29,280.74	Benefits 51.3% of salary	
Name:			FICA 6% of salary	
Name:			Medicare 6% of salary	
Name:				
<b>TOTAL PERSONNEL EXPENSES</b>	<b>\$86,355.45</b>	<b>\$86,355.45</b>		
<b>Operating and Overhead Expenses</b>			<b>DESCRIPTION OF EXPENSES</b>	
Rent				
Utilities				
Postage				
Data Processing (SPECIFY)	1,070.00	1,070.00	Network Connection	
* Office Supplies				
Telephone	312.00	312.00	Monthly Fixed	
Training				
Travel (Reimbursed @ current DPA rates)				
** Equipment				
Mileage				
Indirect Costs (≤ 10% salary/fringe)	8,635.55	8,635.55	10%	
<b>TOTAL OPERATING EXPENSES</b>	<b>10,017.55</b>	<b>\$10,017.55</b>		
<b>TOTAL BUDGET</b>	<b>\$96,373.00</b>	<b>\$96,373.00</b>	<b>Total for FY 2017 - 2019</b>	<b>\$192,745.99</b>

\* A request for Office Supplies in excess of \$500 per PY requires a justification for the entire amount of expenditures.

\*\*Although equipment is included in the budget, **ALL** equipment for which the county requests reimbursement from the Board must be requested in writing by the county and approved in writing by the Board **prior to purchase**. All requests must be submitted on the **Equipment Authorization/Justification** form. **Note:** The Board reserves the option of not reimbursing for equipment that is not requested



**EXHIBIT C**

**GENERAL TERMS AND CONDITIONS**

PLEASE NOTE: The General Terms and Conditions will be included in the contract by reference to Internet site <http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>.

**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

1. PERSONNEL SERVICES

- a. The District Attorney's Office shall ensure that there is sufficient staff to perform the services required under this contract. The District Attorney's Office shall notify the Board of the resignation or termination of any staff person assigned to perform the functions of this contract within five (5) business days of being notified of the resignation of that person or of issuing the notice of termination.
- b. The District Attorney's Office shall obtain written authorization prior to filling vacant or new positions, prior to upgrading the classification of a position, prior to changing the time base of existing positions even though funding was previously requested and made part of the budget, and prior to making any staffing change that may affect the provision of services under this contract. Approval for filling the vacant or new positions, upgrading the classification, and/or changing the timebase will be based upon the Board's review of the District Attorney's Office's workload and upon funding availability within the contract amount.
- c. The District Attorney's Office shall obtain the Board's prior written permission if staff persons assigned to functions under this contract will perform any other county function that will change the percentage of time devoted to the Board as reflected in the budget (Exhibit B-1). Should the District Attorney's Office assign a staff person to perform functions other than those described in Exhibit A (SOW), the District Attorney's Office shall request written authorization ten (10) days prior to the staff person(s) beginning other county functions. The Board shall not reimburse the District Attorney's Office for other duties performed outside the scope of the contract, or the percentage of time devoted to Board activities. The District Attorney's Office shall submit a revised budget to the Board, for approval, reflecting the actual percentage of time the staff person(s) will devote to Board activities.
- d. The District Attorney's Office shall notify the Board when a staff person assigned to perform the functions of this contract has been absent, or is expected to be absent, for any reason, longer than two (2) weeks. When the staff person retires or is on leave, including vacation, sick, and annual leave, the Board shall compensate the District Attorney's Office for that period of time only if the staff person accrued the leave during the time the staff person was assigned to perform the functions described in this contract. Further, the District Attorney's Office agrees to provide, at the Board's request, documentation verifying leave accrued under the contract.
- e. The District Attorney's Office shall ensure the staff persons assigned to the functions under this contract does not participate in criminal investigations or prosecution.
- f. For each staff person(s) performing services under this contract, the District Attorney's Office shall provide the name, business address, telephone number, e-mail address, job title and description of duties, the name of his/her supervisor, the names of staff supervised, and any other information required by the Board.
- g. The Specialist may work overtime but it must be noted on the CalVCB Monthly Activity Timesheet with an explanation as to why the overtime was necessary. The Board reserves the option of not reimbursing overtime that exceeds the approved budget for the fiscal year.

**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

2. PERFORMANCE ASSESSMENT

- a. The Board may assess and evaluate the Specialists performance based on data from Cares2.
- b. The Board reserves the right to revoke the logon of any District Attorney's Office staff whose performance is consistently poor or below average based on the performance criteria used by the Board or who does not comply with the contract provisions. The Board may subsequently agree to allow any such employee to work under this agreement. The Board may monitor performance under the contract and report performance to the Specialist and their supervisor/manager.
- c. The Board may set performance and production expectations or goals for the Specialist related to the fulfillment of the services in this contract. Those expectations may include, but are not limited to: specific time frames for completion of work, specific amounts of work to be completed within given time frames, and specific standards for the quality of work to be performed. The Board will provide written notice of the performance and production expectations to the Specialist and their supervisor/manager. If the Specialist fails to achieve the performance and production expectations set by the Board within ninety (90) days of receipt of written notice, the Board may reduce the amount of the contract or terminate the contract upon an additional thirty (30) days' notice.

3. PROGRAM EVALUATION AND MONITORING

The Specialist shall make available to the Board, and its representatives, for purposes of inspection, audit and review, any and all of its books, papers, documents, financial records and other records pertaining to the operation of this contract. The records shall be available for inspection and review during regular business hours throughout the term of this contract, and for a period of three (3) years after the expiration of the term of this contract.

4. JOB-RELATED TRAVEL

- a. Where the Board anticipates meetings or training classes in Sacramento, only the primary Specialist(s) (no supervisors) may be approved for reimbursement of travel expenses. All expenses shall be reimbursed in accordance with the allocation reflected in the travel line-item of the contract budget so long as the reimbursement is consistent with the Instructions for Completing Monthly Invoices (Attachment VI).
- b. Prior written authorization must be obtained from the Board to attend restitution and/or collection related training, conferences, or to travel for other purposes not directly related to the performance of this contract. Absent such prior approval, the Board reserves the option of not reimbursing the expenses.

5. MOVING

- a. The Board shall not reimburse any costs associated with the relocation of the District Attorney's Office staff performing under this contract.
- b. The District Attorney's Office shall obtain written authorization from the Board to relocate computer terminals sixty (60) calendar days before any planned relocation. Written notification should be

**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

addressed to the attention of the Revenue Recovery Manager, Administration and Finance Division, California Victim Compensation Board, P. O. Box 1348, Sacramento, CA 95812-1348; or emailed to: [BSSSupport@victims.ca.gov](mailto:BSSSupport@victims.ca.gov).

- c. Notification of relocation shall include the new address, including room number and the name, title, address, and phone number of a contact person who is responsible for telephone line and computer/electrical cable installation.
- d. Failure of the District Attorney's Office to obtain prior authorization may result in the District Attorney's Office's inability to perform functions of the contract for a period of time. The Board will not reimburse the District Attorney's Office for lost production time.

**6. REGULATIONS AND GUIDELINES**

All parties agree to abide by all applicable federal and state laws and regulations and Board guidelines, directives and memos as they pertain to the performance of this contract.

**7. UTILIZATION OF COMPUTER SYSTEM**

The District Attorney's Office shall ensure that all District Attorney's Office staff performing duties described in this contract comply with Board policies, guidelines, procedures, directives, and memos pertaining to the use of Cares2, regardless of whether or not the services of such staff persons are paid for by the Board. The Board reserves the right to revoke access to Cares2 at any time and to amend this agreement to align with changing or updated requirements around the procurement, usage, disposition, and security of State IT assets, which may include, but not be limited to, computers systems, software, and equipment.

**8. EQUIPMENT**

**a. Written Request and Approval Prior to Purchase**

The District Attorney's Office shall obtain prior written authorization from the Board in the acquisition of equipment (capitalized assets), including "modular furniture," even though funding may have been previously requested and made part of the budget for this contract. The Board reserves the option of not reimbursing the District Attorney's Office for equipment purchases that are not requested or approved in writing prior to purchase.

The District Attorney's Office shall submit the request for equipment purchases on the County Purchase Request Form (Attachment VII) to the attention of the Board's Restitution Analyst, Administration and Finance Division, California Victim Compensation Board, P. O. Box 1348, Sacramento, CA 95812-1348.

**b. Purchase of Information Technology Equipment**

Costs for providing information technology equipment (as defined in State Administrative Manual Section 4819.2) including computer systems, software, printers, copiers, fax machines, and any associated maintenance contracts as well as monthly maintenance fees, as deemed necessary and

## EXHIBIT D

### SPECIAL TERMS AND CONDITIONS

upon preapproval by the Board, shall be provided and/or reimbursed by the Board. Specifically, if the Board purchases equipment, then the Board will configure, and provide support for equipment and pre-installed software. If the District Attorney's Office purchases equipment, then the District Attorney's Office is responsible for its own configuration, installation, and support of those purchases, which may involve the purchase of a maintenance service contract with the vendor. The Board strongly recommends purchasing a maintenance agreement that provides on-site support within 24 hours. The District Attorney's Office is responsible for budgeting dollars through this contract to cover those support and/or maintenance service contract costs. The Board is not a party to such contract.

All equipment reimbursed under this contract shall be the property of the Board and shall be identified with a state identification number. The District Attorney's Office shall ensure that no one other than a staff person who performs duties under this contract uses Board equipment.

The District Attorney's Office agrees to apply all security patches and upgrades, and keep anti-virus software executing and up-to-date on any machine on which Board data may be used. All machines must be configured to accept and apply software and security updates for all software installed on the computer. This includes the operating system, applications, programs, utilities, and anti-virus software.

If computer software is purchased under this contract, vendors shall certify that it has appropriate systems and controls in place to ensure that state funds are not used to acquire, operate, or maintain computer software in a manner that does not comply with applicable copyrights. If applicable, the Board reserves the right to access and audit all IT assets purchased or reimbursed under this agreement, including software equipment and computers, to ensure they are patched, used, and operating in a manner consistent with State policy and the terms of this contract.

All personal computers should use the following hardware, or an approved equivalent, which is the current standard for the Board:

- Intel 4th Generation Multi-Core i7 Processor
- 8 GB RAM
- 500 GB Hard Drive
- Network Port
- USB Port(s)
- 24" Flat Panel monitor
- USB Keyboard
- USB Mouse or Trackball

All personal computers should use the following software, or an approved equivalent, which is the current standard for the Board:

- Microsoft Windows 7 Enterprise Operating System
- Internet Explorer 11 or Edge \*\*
- Windows Media Player \*\*
- Microsoft Office 2010
  - Word
  - Excel

## EXHIBIT D

### SPECIAL TERMS AND CONDITIONS

- PowerPoint
- Outlook
- Adobe Reader
- Adobe Flash Player
- Java 8
- McAfee VirusScan Enterprise 8.8
- Verdiem Surveyor Client (Energy Management Software)

\*\* Installed with the Operating System

The District Attorney's Office shall obtain prior written authorization from the Board prior to installing any equivalent or additional software on purchased or reimbursed equipment. Requests should be sent to: [helpdesk@victims.ca.gov](mailto:helpdesk@victims.ca.gov).

#### 9. TERM OF CONTRACT

The period of performance for the contract will be July 1, 2017 through June 30, 2019.

#### 10. INVENTORY

Capitalized assets and non-capitalized assets shall remain the property of the Board and shall bear identification tags supplied by the Board. The District Attorney's Office shall prepare an inventory listing as of June 30<sup>th</sup> of each year for the term of this contract, using the County Inventory Form (Attachment VIII). The completed form shall be submitted to the Board's Restitution Analyst in an electronic format by July 15<sup>th</sup> of each fiscal year.

The Board reserves the right to request current and complete inventory listings, and to remotely access (if applicable), for audit purposes, all IT equipment provided or procured through this contract.

In the event of termination of this contract, the Board shall take possession of its property. The District Attorney's Office shall hold those items (identified on the County Inventory Form) in storage until the Board retrieves its property. Payment of storage and retrieval shall be the responsibility of the Board.

All equipment procured or supplied under this contract will be the property of the Board and will be administered according to State policy for the duration of its lifecycle, from procurement through disposal. Equipment that has reached its functional end of life must be returned to the Board for disposal, unless preapproval is obtained from the Board for using an alternate method of disposal. All hard drives must be encrypted or cleansed prior to shipment. Contact the Board for instructions on handling, shipping, and disposal by sending an email to: [helpdesk@victims.ca.gov](mailto:helpdesk@victims.ca.gov).

#### 11. CONFIDENTIALITY OF RECORDS

All financial, statistical, personal, technical and other data and information relating to the state's operations, which are designated confidential by the state and made available to the District Attorney's Office in order to carry out this contract, or which become available to the District Attorney's Office in carrying out this contract, shall be protected by the District Attorney's Office from unauthorized use and disclosure through observance of the same or more effective procedural requirements as applicable to the state. This includes the protection of any extractions of the Board's confidential data for another

**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

purpose. Personally identifiable information shall be held in the strictest confidence, and shall not be disclosed except as required by law or specifically authorized by the Board (refer to the Board Information Security Policy, 17-008, Attachment I).

The Board's COR in Sacramento shall be notified when an applicant or an applicant's representative requests a copy of any document in or pertaining to the claimant's file. The District Attorney's Office shall not disclose any document pursuant to any such request unless authorized to do so by the Board's Executive Officer, Chief Deputy Executive Officer, or Chief Counsel.

The Board's Legal Office in Sacramento is to be immediately notified of any request made under the Public Records Act (Gov. Code, § 6250, et. seq.) for information received or generated in the performance of this contract. No record shall be disclosed pursuant to any such request unless authorized by the Board's Legal Division at (916) 491-3605.

The District Attorney's Office shall ensure that all staff is informed of and complies with the requirements of this provision and any direction given by the Board. The Specialist, their supervisor/manager, staff whose salary or a portion thereof is paid through this contract or who supervises staff members performing services under this contract shall be provided a copy of and shall be compliant with the Board's Confidentiality Statement (Attachment II).

The District Attorney's Office shall be responsible for any unauthorized disclosure by District Attorney's Office staff persons performing duties described in this contract, regardless of whether or not the services of such staff persons are paid for by the Board, and shall indemnify, defend and save harmless the state, its officers, agents and employees from any and all applications, losses, damages, penalties, fines, and attorney fees resulting from the unauthorized disclosure of the Board's records by such staff persons.

**12. COMPLIANCE WITH BOARD POLICIES**

The District Attorney's Office shall ensure that all staff reviews and complies with the requirements of the Board's Fraud Policy (Attachment III), Acceptable Use of Technology Resources Memo (Attachment XI), the CalVCB Privacy Policy (Attachment XII) and the CalVCB Password Policy (Attachment XIII). Staff is required to fill out and submit signed copies of the CalVCB Confidentiality Statement (Attachment II), the Board's Acknowledgement of Policies (Attachment V), and the Board Information Systems Security and Confidentiality Acknowledgement (Attachment X), to:

California Victim Compensation Board  
Business Services Section  
400 R Street Suite 400  
Sacramento, CA 95811  
Attn: Contracts

In the event that fraud is suspected, the Investigation Referral Form (Attachment IV) shall be completed and immediately submitted to:

California Victim Compensation Board  
Legal Division  
P.O. Box 350  
Sacramento, CA 95812-0350

## EXHIBIT D

### SPECIAL TERMS AND CONDITIONS

Additionally, the District Attorney's Office staff assigned to perform services for the Board must adhere to the following provisions in addition to all other policies and procedures set forth by the Board.

Staff should not:

- a. Attempt to access the Cares2 application from any location other than your assigned work location; this includes restrictions on working remotely.
- b. Share individual login ID and password with anyone else.
- c. Allow their computer to remember a password to the Cares2 application.
- d. Walk away from their computer without locking the screen (Ctrl-Alt-Delete).
- e. Send any Personally Identifiable Information (PII) via email. Staff should use application numbers, bill numbers and initials only (if necessary). Staff should use encrypted email if they must send email containing PII information.
- f. Leave documents with PII unattended on printers or fax machines, or in cubicles, offices or conference rooms.
- g. Visit untrusted websites or open any attachments or links from untrusted email.
- h. Uninstall or disable anti-virus software and automatic updates.
- i. Install any unauthorized or unlicensed software.
- j. Plug a mobile phone, personal USB drive or other peripheral device into the network system or desktop computer.
- k. Disclose any PII information to unauthorized users.
- l. Any virus attacks, security violations, and privacy breach, should be immediately reported to your county Information Security Officer, your supervisor, your Restitution Analyst, and the Restitution Recovery Manager. You must also notify the Board's Information Technology Division (ITD) by sending an email to: [helpdesk@victims.ca.gov](mailto:helpdesk@victims.ca.gov).

The District Attorney's Office staff may be required to complete the Information Technology Security Awareness and/or Privacy training. If these sessions are deemed necessary the Board will provide advance notice and coordinate the sessions with the District Attorney's Office. The users shall read and adhere to Board policies and procedures and are required to sign the applicable acknowledgment forms during hire and annually thereafter.

The District Attorney's Office shall be responsible for any unauthorized access or disclosure by District Attorney's Office staff persons performing duties described in this contract, regardless of whether or not the services of such staff persons are paid for by the Board, and shall indemnify, defend and save harmless the state, its officers, agents and employees from any and all applications, losses, damages, penalties, fines, and attorney fees resulting from the unauthorized disclosure of the Board records by such staff persons.

All other terms and conditions under this contract shall remain the same and in full force and effect.

#### 13. SUBPOENAS

The District Attorney's Office is not the Custodian of Records for any of the materials it creates or receives pursuant to this contract. The District Attorney's Office shall post a notice in its receiving department or other appropriate place stating that subpoenas for all records from the Board must be personally served on the Board, Attn: Legal Division at P.O. Box 350 Sacramento, CA 95812-0350. The District Attorney's Office may also contact the Legal Division at (916) 491-3605 for further assistance.



**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

In cases where documents are being subpoenaed, the District Attorney's Office shall provide the Board with all responsive documents upon request in the most expedient manner to meet the time constraints of the subpoena, including the use of overnight express mail.

14. INCOMPATIBLE WORK ACTIVITIES

The District Attorney's Office staff assigned to perform services for the Board must not:

- a. Engage in any conduct that is clearly inconsistent, incompatible, or in conflict with, his or her assigned duties under the contract.
- b. Use information obtained while doing work under the contract for personal gain or the advantage of another person.
- c. Provide confidential information to anyone not authorized to receive the information. Confidential information obtained during the performance of contract duties must be held in strict confidence.
- d. Provide or use the names of persons or records of the Board for a mailing list which has not been authorized by the Board.
- e. Represent him or herself as a Board employee.
- f. Take any action with regard to a Board applicant, or restitution matter with the intent to obtain private gain or advantage.
- g. Involve him or herself in the handling of any application or restitution matter when he or she has a relationship (business or personal) with an applicant or other interested party.
- h. Knowingly initiate any contact with an applicant, person for whom restitution may be sought, or person against whom restitution may be collected, unless the contact is for the purposes of carrying out the services under this contract and is done in an appropriate manner.

It shall be the District Attorney's Office's responsibility to ensure that every staff person assigned to provide contracted services to the Board is made aware of and abides by this provision. If an assigned staff person is unwilling or unable to abide by this provision, the staff person shall no longer be assigned to perform the services required by the contract. Any questions should be directed to the Board's Legal Division at (916) 491-3605.

15. RETENTION OF RECORDS

The District Attorney's Office will scan all case documents and retain the documents for 365 days from the scan date. The documents will be destroyed after the 365 days has past via confidential destruct. The electronic records will be retained for 25 years thereafter.

16. SUBCONTRACTING

All subcontracting must comply with the requirements of the State Contracting Manual, Section 3.06. Nothing contained in this agreement or otherwise, shall create any contractual relation between the state and any subcontractors, and no subcontract shall relieve the District Attorney's Office of his responsibilities and obligations hereunder. The District Attorney's Office agrees to be as fully responsible to the state for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the District Attorney's Office. The District Attorney's Office's obligation to pay its sub-contractors is an independent obligation from the state's obligation to make payments to the District Attorney's Office. As a result, the state shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

**EXHIBIT D**

**SPECIAL TERMS AND CONDITIONS**

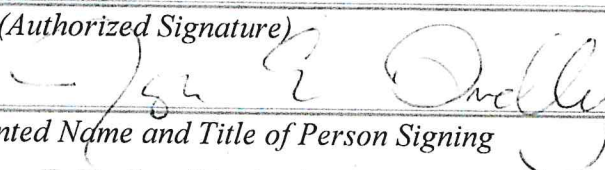
17. TERMINATION FOR CONVENIENCE

The Board or the District Attorney reserves the right to terminate this contract upon thirty (30) days written notice to the other party. In such an event, the District Attorney's Office shall be compensated for actual costs incurred in accordance with the terms of this contract up to the date of termination. Invoicing of the above mentioned costs must be submitted to the Board within thirty (30) calendar days of the date of termination.

CCC 04/2017

**CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Bidder Firm Name (Printed)</i> Santa Barbara County District Attorney		<i>Federal ID Number</i> 95-6002833
<i>By (Authorized Signature)</i> 		
<i>Printed Name and Title of Person Signing</i> Joyce E. Dudley, District Attorney		
<i>Date Executed</i>	<i>Executed in the County of</i> Santa Barbara, California	

**CONTRACTOR CERTIFICATION CLAUSES**

1. STATEMENT OF COMPLIANCE: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)
2. DRUG-FREE WORKPLACE REQUIREMENTS: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:
  - a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
  - b. Establish a Drug-Free Awareness Program to inform employees about:
    - 1) the dangers of drug abuse in the workplace;
    - 2) the person's or organization's policy of maintaining a drug-free workplace;
    - 3) any available counseling, rehabilitation and employee assistance programs; and,
    - 4) penalties that may be imposed upon employees for drug abuse violations.
  - c. Every employee who works on the proposed Agreement will:
    - 1) receive a copy of the company's drug-free workplace policy statement; and,
    - 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the

certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations,

or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.

8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

### **DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.

2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.

2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.

b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.

c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

# Information Security Policy

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**Memo Number: 17-008**

Date Issued: 1/1/17

Supersedes: 15-001

Effective Date: Immediately

Expires: Indefinite

Issued By: Information Technology Division

## Purpose

The Victim Compensation Board's (CaIVCB) Information Security Policy defines the rules for information security that apply to our business activities. This Policy also provides a foundation for additional practices and standards that will more specifically communicate CaIVCB rules related to information security.

## Information Security Program

The CaIVCB has established an Information Security Program to protect the confidentiality, availability, integrity, and privacy of CaIVCB information and supporting assets. The Information Security Program provides an integrated set of requirements that complement the CaIVCB strategic goals and securely achieves its objectives and priorities.

## Responsibility

The Information Security Officer (ISO) is responsible for developing, implementing, and operating the Information Security Program. The ISO reports directly to the CaIVCB ITD Chief Information Officer.

The ISO will develop and implement policies, practices, and guidelines that protect the confidentiality, availability, and integrity of all CaIVCB information and supporting assets. The ISO also promotes information security awareness, measures adherence to information security policies, and coordinates the response to information security incidents.

The ISO chairs the Information Security Advisory Committee that includes members representing all CaIVCB divisions. The Information Security Advisory Committee is responsible

for reviewing, advising, and recommending approval of information security practices and standards.

The Information Technology Division is responsible for the implementation and administration of CalVCB information security policies, practices, and guidelines for all CalVCB information systems and networks.

All CalVCB employees, consultants, and contractors are responsible for protecting CalVCB information assets and complying with CalVCB information security policies, practices, and guidelines. All CalVCB employees, consultants, and contractors are also responsible for reporting any suspected or known security violations or vulnerabilities to the ISO.

## Compliance

All CalVCB employees, consultants, and contractors must comply with CalVCB information security policies, practices, and guidelines.

Failure to comply with CalVCB information security policies, practices, and guidelines by State employees may result in disciplinary action up to, and including, termination of State employment.

Failure to comply with CalVCB information security policies, practices, and guidelines by consultants or contractors may result in punitive action up to, and including, termination of their contract.

In some cases, the failure to comply with CalVCB information security policies, practices, and guidelines may result in additional civil and criminal penalties.

Compliance of CalVCB divisions and offices with CalVCB information security policies, practices, and guidelines must be enforced by the supervisors and managers of these divisions and offices. The CalVCB overall compliance with information security policies, practices, and guidelines will be monitored by the ISO.

## Risk Management

The CalVCB will identify and mitigate risks to the confidentiality, availability, and integrity of CalVCB information assets. Information security risks must be reported to the owner of the information or the information system asset and the owner of that asset will ultimately determine the impact of the risk and the appropriate mitigation approach.



The ISO operates the Information Security Risk Management program. Under this program, the ISO participates in the development of new information systems and periodically assesses existing information systems to identify and mitigate information security risks. The ISO works with the appropriate CalVCB divisions and offices to determine the impact of the risk, identify the appropriate mitigation activities, and monitor the successful completion of the mitigation activities.

## Life Cycle Planning

The CalVCB will address information security as part of new projects involving major business activities or significant enhancements to existing business.

Projects will comply with all applicable information security policies and practices, and include provisions for the effective implementation and administration of the information security processes required for compliance.

## Awareness and Training

The CalVCB maintains a mandatory information security awareness program. The ISO will ensure that the appropriate information security awareness training is provided to all CalVCB employees, consultants, and contractors.

## Physical Security

The CalVCB safeguards its business areas and resources to protect and preserve the availability, confidentiality, and integrity of the department's information assets. Only authorized individuals are granted physical access to sensitive CalVCB business areas.

## Contingency and Disaster Preparedness

The CalVCB Business Services Section ensures that the CalVCB has sufficient plans, resources, and staff to keep critical CalVCB business functions operating in the event of disruptions.

Contingency plans must be tested at a frequency sufficient to ensure that they will work when needed.

## Incident Handling

The CalVCB ISO implements practices to minimize the risk associated with violations of information security and ensure timely detection and reporting of actual or suspected incidents or violations.

All CalVCB employees, consultants, and contractors are responsible for reporting any suspected or confirmed security violations and incidents in a timely manner. The CalVCB investigates information security violations and incidents and refers them to state and federal authorities when appropriate.

## Identification and Authentication

All users are individually identified to the information system(s) they use. Their identity is verified in the system by using information that is only known by the individual user and the system. The user and the system will protect this verification information with sufficient care to prevent its disclosure and ensure its integrity.

The identification and verification process must be strong enough to establish a user's accountability for their actions on the information system.

## Access Control

Access to all CalVCB information systems and information assets is controlled and the owner of each system or information asset must approve all user access. Users are provided access to only those systems and information assets required to perform their current CalVCB duties.

The CalVCB information systems must have the capability to restrict a user's access to only information and/or functions necessary to perform their CalVCB duties.

## Audit Trail

All information system activities are subject to recording and routine review. Audit trail records must be sufficient in detail to facilitate the reconstruction of events if a compromise or malfunction occurs.

Audit trail records must be provided whenever access to a CalVCB information system is either permitted or denied; or whenever confidential or sensitive information is created or modified.

Audit trail records are created and stored with sufficient integrity and duration to hold a user accountable for their actions on a CalVCB information system.

## Data Ownership

All information assets have a Data Owner who is assigned by CalVCB management. The Data Owner is responsible for authorizing access to the information, assignment of custody for the information, classifying the information, and approving any contingency plans affecting the information.

## Information Classification

All CalVCB information assets are classified by their Data Owner according to the confidentiality of the information and its importance to CalVCB operations. In addition to any classification of information required for business purposes, the classification identifies if the information is confidential or subject to release as a public record as required by law. It also identifies information critical to the continuance and success of CalVCB operations.

## Information System Security Practices

All CalVCB information systems and information system infrastructure elements will have specific practices, guidelines, and procedures that govern their operation relative to information security. All CalVCB information systems and information system infrastructure elements will conform to these practices, guidelines, and procedures unless the ISO has approved a specific exception.

## Authority

- Government Code sections 19572 and 19990
- State Administrative Manual (SAM) sections 5300 through 5365.3
- Government Code section 8314
- Applicable employee Memoranda of Understanding
- State Information Management Manual (SIMM)



## Contact

For any questions about this Policy, please contact your immediate manager/supervisor or the ISO by e-mail at [InfoSecurityandPrivacy@victims.ca.gov](mailto:InfoSecurityandPrivacy@victims.ca.gov).

## Distribution List

All CaIVCB staff

## CalVCB Confidentiality Statement

### Purpose of Confidentiality Statement

It is the policy of the Victim Compensation Board (CalVCB) that all computerized files and data that contain CalVCB client information, as well as all information and documents associated with such files and data, are “confidential” and shall not be disclosed except as required by law or specifically authorized by CalVCB. I also acknowledge that it is the policy of CalVCB to ensure that all information is secured as set forth in the CalVCB Information Security Policy, Memo number 06-00-003 and that all CalVCB employees and contractors must respect the confidentiality of CalVCB data by not disclosing any files or data accessible to them through their employment, contract, or affiliation with CalVCB.

### State Employees and Contractors

*Initial each section.*

I, md agree to protect confidential information in the following ways:

- Access, inspect, use, disclose, or modify information only to perform job duties.
- Never access, inspect, use, disclose, or modify information, including my own, for curiosity, personal gain, or any non-CalVCB business related reason.
- Never attempt to access, use, disclose, or modify information, including my own, for any non-CalVCB business or personal reason.
- Secure confidential information in approved locations and dispose of confidential information or confidential materials using the confidential destruction receptacle. Not destroy any original copies of information submitted to CalVCB without prior authorization from the Executive Officer, Deputy Executive Officer, or Legal Counsel.
- Log off of computer access to CalVCB data and information when not using it.
- Never remove confidential information from my work site without prior authorization from the Executive Officer, Deputy Executive Officer, or Legal Counsel.
- Never disclose personal information regarding anyone other than the requestor unless authorized to do so by the Executive Officer, Deputy Executive Officer, or Legal Counsel. “Personal Information” means any information that identifies or describes an individual, including but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, medical or employment history, or statements made or attributed to the individual.

- Never disclose any information related to a victim compensation application, including whether an individual has filed a CalVCB application, unless it is under the following circumstances:
  1. The request for information is from an applicant or the applicant's authorized representative regarding his or her own application,
  2. The disclosure is for the purpose of verifying claims and the applicant has provided a signed authorization to release information, or
  3. Are authorized to disclose the information by the Executive Officer, Deputy Executive Officer, or Legal Counsel.
- Never release a copy of a law enforcement report to any individual, including a CalVCB applicant. Law enforcement reports include, but are not limited to, reports by police, CHP, sheriff departments, DOJ, FBI, Child Protective Services, and the Department of Social Services.
- Never disclose a Felon Status Verification Request completed by DOJ to any individual outside of CalVCB.
- Never disclose any other information that is considered proprietary, copyrighted, or otherwise protected by law or contract.
- Inform the CalVCB Public Information Officer immediately of any request made under the Public Records Act (Gov. Code, § 6250 et. seq.).
- Inform a server of a subpoena that the subpoena shall be personally served on CalVCB at 400 R Street, 5th Floor, Sacramento, CA, 95811, Attn: Legal Office. Contact the CalVCB Legal Office at 916-491-3605 regarding any subpoena received by the Board.
- Notify the CalVCB Information Security Officer immediately if a suspected security incident involving the data occurs.

I, mwk acknowledge that as a state employee or individual performing work pursuant to a contract with CalVCB, I am required to know whether the information I have been granted access to is confidential and to comply with this statement and the CalVCB Information Security Policy, Memo Number 06-00-003. If I have any questions, I will contact CalVCB's Legal Office or Information Security Officer.

I, mwk acknowledge that the unauthorized access, inspection, use, or disclosure of confidential information is a violation of applicable laws, including but not limited to, the following: Government Code sections 1470 et seq, 6254.17, and 19990(c), Civil Code section 1798 et seq., and Penal Code section 502. I further acknowledge that unauthorized access, inspection, use, disclosure, or modification of confidential information, including my own, or any attempt to engage in such acts can result in:

- Administrative discipline, including but not limited to: *reprimand, suspension without pay, salary reduction, demotion, and/or dismissal from state service.*
- Criminal prosecution.
- Civil lawsuit.
- Termination of contract.

I, mlk expressly consent to the monitoring of my access to computer-based confidential information by CalVCB or an individual designated by CalVCB.

## Certification

I have read, understand, and agree to abide by the provisions of the Confidentiality Statement and the CaIVCB Information Security Policy, Memo number 06-00-003

I also understand that improper use of CaIVCB files, data, information, and systems could constitute a breach of contract. I further understand that I must maintain the confidentiality of all CaIVCB files, data, and information once my employment, contract, or affiliation with CaIVCB ends. This signed Certification will be retained in my Official Personnel File in Human Resources.


If I am a contractor, I understand that it is my responsibility to share these contract provisions with any staff under my supervision and ensure that they comply with its provisions.

Meg RE  
Signature

5/24/17  
Date

Megan Rheinschild  
Name (Print)



 <p>CALIFORNIA <b>CalVCB</b> VICTIM COMPENSATION BOARD</p>	<b>POLICY MEMO</b>
<b>SUBJECT: Fraud Policy</b>	
<b>DATE ISSUED: March 2013</b>	<b>EFFECTIVE DATE: Immediately</b>
<b>SUPERSEDES: #09-008</b>	<b>EXPIRES: Indefinite</b>
<b>MEMO NUMBER: 13-001</b>	<b>ISSUED BY: Executive Office</b>

<b>PURPOSE</b>	To clarify acts that are considered fraudulent, assign responsibility for the conduct of investigations, and describe steps to be taken in the event fraud is suspected.
<b>POLICY</b>	<p>The California Victim Compensation Board (VCB) is committed to protecting its assets against the risk of loss. Accordingly, it is the policy of the VCB to promptly investigate any suspected fraud, involving claimants, providers of service, representatives, and/or any other parties that have a business relationship with the VCB.</p> <p>The VCB will pursue every reasonable effort to obtain recovery of the losses from the offender or other appropriate sources.</p>
<b>ACTIONS CONSTITUTING FRAUD</b>	<p>Fraud is defined as a deception deliberately practiced in order to secure an unfair or unlawful gain. Actions constituting fraud include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Any dishonest or fraudulent act.</li> <li>• Any violation of Federal, State, or Local laws related to fraud.</li> <li>• Misappropriation of State assets.</li> <li>• Forgery, unauthorized alteration, destruction, or manipulation of computer-related data or documents.</li> <li>• Profiteering as a result of insider knowledge of VCB activities.</li> <li>• Disclosing confidential and proprietary information to outside parties.</li> <li>• Accepting or seeking anything of material value from those doing business with the VCB.</li> </ul>
<b>INVESTIGATION RESPONSIBILITIES</b>	The Office of Audits and Investigations (OAI) has the primary responsibility for the investigation of all suspected fraudulent acts as defined in this policy. The OAI will coordinate all investigations, both internal and external. Pertinent investigative findings will be reported to Executive Management. Decisions to refer the results to the appropriate law enforcement and/or regulatory agencies for further investigation and/or prosecution will be made in consultation with Executive Management.

	Any investigative activity required will be conducted objectively regardless of the suspected individual's position, title, length of service or relationship to the VCB.
<b>CONFIDENTIALITY</b>	<p>All information received by the OAI is treated as confidential to the extent permitted by law. VCB management will be alert and responsive to any reprisal, retaliation, threat, or similar activity against an employee because that employee has in good faith reported a suspected fraudulent activity.</p> <p>The OAI will not disclose or discuss the investigation results with anyone other than those who have a legitimate need to know. This is important in order to maintain the integrity of the investigation, to avoid damaging the reputations of person(s) suspected but subsequently found innocent of wrongful conduct, and to protect the VCB from potential liability.</p>
<b>DISTINCTION FROM OTHER POLICIES</b>	This policy is not intended to address employee work performance issues which should be directed to the employee's supervisor/manager. Other issues concerning an employee's moral, ethical, or behavioral conduct should be resolved by the employee's supervisor/manager and the manager of the Human Resources Section.
<b>AUTHORIZATION FOR INVESTIGATING SUSPECTED FRAUD</b>	<p>The Executive Officer designates the OAI as the unit responsible for investigating any suspected fraud. The OAI is independent from administering any program, fiscal activity, or operation within the VCB.</p> <p>Members of the OAI will have:</p> <ul style="list-style-type: none"> <li>• Unrestricted access to all relevant VCB manual/electronic records.</li> <li>• Communication with any personnel deemed appropriate in the course of an investigation.</li> </ul>
<b>REPORTING PROCEDURES</b>	<p>Any employee who suspects fraud or has received an external fraud complaint will immediately report it to his or her supervisor/manager and should not attempt to conduct the investigation personally. If the suspected fraud involves the employee's supervisor/manager, the employee should contact the OAI directly.</p> <p>An employee should complete an <u>Investigation Referral Form</u> to report the suspected fraudulent activity to the OAI. A copy of this form is attached and is also accessible on the Boardnet</p> <p>Employees should direct external complainants to the VCB website for instructions to report fraud. There are four reporting options available:</p> <ul style="list-style-type: none"> <li>• Send an email to the fraud hotline at <a href="mailto:FraudHotline@vcgcb.ca.gov">FraudHotline@vcgcb.ca.gov</a></li> <li>• Call the toll-free telephone line at 1 (855) 315-6083</li> <li>• Write to the OAI at 400 R. Street, Suite 423, Sacramento, CA 95811</li> <li>• Fax to the OAI at (916) 491-6409.</li> </ul> <p>All inquiries concerning the activity under investigation from the suspected individual, his or her attorney or representative, or any other inquirer should be directed to the OAI.</p>
<b>CONTACT</b>	For questions about this policy, contact your supervisor/manager or the Chief Internal Auditor at (916) 491-3875.
<b>DISTRIBUTION LIST</b>	All VCB Staff, Joint Powers Staff, Criminal Restitution Compact Staff, and Victim Witness Centers.



## INVESTIGATION REFERRAL FORM

### Involved Division/County (check all that apply)

- |  |  |
|--|--|
| <input type="checkbox"/> Victim Compensation Division          | <input type="checkbox"/> Fiscal Services Division              |
| <input type="checkbox"/> Application Intake Section            | <input type="checkbox"/> Budget Section                        |
| <input type="checkbox"/> Eligibility Determination Section     | <input type="checkbox"/> Accounting Section                    |
| <input type="checkbox"/> Benefit Determination Section         | <input type="checkbox"/> Government Claims Program             |
| <input type="checkbox"/> County Liaison and Support Section    | <input type="checkbox"/> Restitution Recovery Section          |
| <input type="checkbox"/> Mental Health Section                 | <input type="checkbox"/> Liens & Overpayment Recovery Section  |
| <input type="checkbox"/> Appeals Process Section               | <input type="checkbox"/> Legislation & Public Affairs Division |
| <input type="checkbox"/> Policy, Planning and Research Section | <input type="checkbox"/> Legislation Section                   |
| <input type="checkbox"/> Customer Service Section              | <input type="checkbox"/> Regulations Section                   |
| <input type="checkbox"/> Administration Division               | <input type="checkbox"/> Training Section                      |
| <input type="checkbox"/> Human Resources Section               | <input type="checkbox"/> Communications & Outreach Section     |
| <input type="checkbox"/> Information Technology Section        | <input type="checkbox"/> Joint Powers County                   |
| <input type="checkbox"/> Business Services Section             | <input type="checkbox"/> Criminal Restitution Compact County   |

### Nature of Complaint (check all that apply)

- |  |   |
|--|---|
| <input type="checkbox"/> Services not rendered   | <input type="checkbox"/> Provider licensure issue         |
| <input type="checkbox"/> Unnecessary services    | <input type="checkbox"/> Identity theft                   |
| <input type="checkbox"/> Excessive billing       | <input type="checkbox"/> Forgery/alteration of documents  |
| <input type="checkbox"/> Double billing          | <input type="checkbox"/> Misappropriation of State assets |
| <input type="checkbox"/> Upcoding and Unbundling | <input type="checkbox"/> Other (Please describe):         |

### Complainant

- Employee     Claimant     Provider     Attorney/Representative     Other

Name and Title

Unit/Section (if applicable)

Contact Number

Date



## INVESTIGATION REFERRAL FORM

### Complaint Against

Employee   
  Claimant   
  Provider   
  Attorney/Representative   
  Other

Name of the involved

Name(s) of other parties involved

Application Number and Any Associated Application Numbers (if applicable)

Application Processed By?       Headquarters       JP County

Dollar Amount Involved?

Type of Expenses Involved?     MH     Relocation     I/S     Medical     F/B     Other

Date of Complaint Occurred?

Date of Complaint Discovered?

**Complaint** (Summary of the complaint – What did the person(s) involved do that you feel was fraudulent, etc.?) If applicable, send a copy of any documents that supports your complaint. If you do not have a copy of supporting documents, where can a copy be obtained?)



# INVESTIGATION REFERRAL FORM

Approving Manager/Supervisor Signature (Name & Title)\*

Unit/Section (if applicable)

Phone Number

Date

\*Not required if you believe your supervisor is involved in the fraudulent activity.

Approving Deputy Executive Officer:

Proceed to OAI    Return to Requestor

Reason for Return:

\_\_\_\_\_  
Deputy Executive Officer Signature

\_\_\_\_\_  
Date

**To assist in the processing of a complaint involving a CalVCP application, please ensure all necessary verifications are completed prior to submission.**

## California Victim Compensation Board Acknowledgement of Polices

### 1. Fraud Activities Statement (Attachment III)

I have read, understand, and agree to abide by the provisions of the CalVCB's Fraud Policy. I understand that if an issue arises regarding these requirements during my daily work and I suspect dishonest or fraudulent activity, I should immediately notify my JP or CRC supervisor/manager and/or the CalVCB's Office of Audits and Investigations (OAI) for review. When the employee believes his or her supervisor/manager is involved in the fraudulent activity, the employee should contact the OAI section directly.

In referring the matter, the JP or CRC employee must complete an Investigation Referral Form and forward it to the OAI.

I also understand that failure on my part to comply with these requirements may result in punitive and/or disciplinary action up to, and including, termination of the JP or CRC contract.

I also understand that failure on my part to comply with these requirements may result in punitive and/or disciplinary action up to, and including, termination of the contract.

### 2. Acceptable Use of Technology Resources (Attachment XI)

I have read, understand, and agree to abide by the provisions of CalVCB's Acceptable Use of Technology Resources Policy (Memo 17-005)

### 3. Privacy Policy (Attachment XII)

I have read, understand, and agree to abide by the provisions of CalVCB's Privacy Policy (Memo 17-010)

### 4. Password Policy (Attachment XIII)

I have read, understand, and agree to abide by the provisions of CalVCB's Password Policy (Memo 17-012)

### 5. Incompatible Work Activities

I have read, understand, and agree to abide by the provisions of the Exhibit D, Section 15, Incompatible Work Activities. I understand that I shall not engage in any work activity that is clearly inconsistent, incompatible, in conflict with, or adverse to my duties. I also understand that if I am unwilling or unable to abide by the provisions, I shall no longer be assigned to perform the services required by the contract

vacant  
CRC Employee's Signature

5/24/17  
Date

vacant  
Typed or Printed Name

Paralegal  
Classification Title

MEGAN RHEINSCHILD  
Manager/Supervisor Signature

05/24/17  
Date

Megan Rheinschild  
Type or Printed Name

Director Victim Witness  
Classification Title Program

Santa Barbara  
County

VC-7082  
Contract Number

### CalVCB County Inventory Form

Attachment VIII

In accordance with Exhibit D.11 of the California Victim Compensation Board (CalVCB) contract with the County, the CalVCB Inventory Form must be completed and returned to the CalVCB no later than July 5<sup>th</sup> of each year. Please complete all requested information. The only assets to be inventoried on this form are those purchased by the CalVCB or with funds from the CalVCB. For a list of assets that must be inventoried, please see details at the bottom of this form. For any questions on this form, please contact your CalVCB County Analyst. Return the completed form to CalVCB at: [BSSSupport@victims.ca.gov](mailto:BSSSupport@victims.ca.gov).

County Name	CalVCB Contract Number	Date	Address	Contact Information						
				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Name:</td> <td></td> </tr> <tr> <td>Phone Number:</td> <td></td> </tr> <tr> <td>Email Address:</td> <td></td> </tr> </table>	Name:		Phone Number:		Email Address:	
Name:										
Phone Number:										
Email Address:										

#### Asset Inventory

*Asset Type	Location	Serial Number	Model	Manufacturer	Asset Tag #	Comments

\*The following assets must be inventoried: IT Assets (computer, monitor, fax machine, desktop or network printer, scanner, laptop) Non-IT Assets (copier, shredder, recorder, TV, any type of furniture - chair, bookcase, cart, credenza, file cabinet, hutch, etc.)

For additional assets, please include on a separate document using the same format as this form.

## CalVCB Asset Identification Form

As required by the State Administrative Manual and the County contracts, all assets purchased with State funds must be properly identified and inventoried, and an asset tag affixed to the asset. To comply with these requirements, the County must complete the information provided below.

Upon completion, a copy of this form must be emailed to the Board at: [BSS.Support@victims.ca.gov](mailto:BSS.Support@victims.ca.gov).

<b>County Name</b>	<b>Contract Number</b>	<b>Address</b>
<b>County Contact Name</b>	<b>Phone Number</b>	<b>Email Address</b>

<b>ASSET INFORMATION</b>	
(To be completed by the County; use Page 2 for additional items)	
<b>*Asset Type</b>	
<b>Location/Address</b>	
<b>Make/Model</b>	
<b>Serial Number</b>	

\*The following examples represent the types of assets that must be inventoried: IT Assets: computer, monitor, fax machine, desktop or network printer, scanner, laptop, etc. Non-IT Assets: copier, shredder, recorder, TV, all furniture – chair, bookcase, cart, credenza, file cabinet, hutch, etc.

<b>COUNTY ACKNOWLEDGEMENT</b>	
<p>A complete accounting of all assets and corresponding asset tags must be provided to the Board by the 5<sup>th</sup> of July of each Fiscal Year. Counties must use the <u>County Inventory Form</u> provided with their contract (see Contract Attachments) to account for and report all assets purchased with Board funds. The County Coordinator/Supervisor understands and accepts responsibility for submission of a complete and accurate County Inventory Form for the current Fiscal Year.</p>	
<p>By signing below, you acknowledge that all asset tags will be properly affixed to equipment purchased with Board funds, and that an accounting of all assets will be reported at the end of the Fiscal Year, as indicated above:</p>	
County Coordination/Supervisor (required):	Date:

<b>ASSET TAG</b>	
Asset Tag(s) Provided to CRC/JP Analyst By:	Asset Tag(s) Sent to County By:
BSB/ITD Analyst: _____ Date: _____	CRC/JP Analyst: _____ Date Sent: _____
<p>Once the purchase is completed, the Board's BSB/ITD staff will update its asset management system to include the equipment purchased for the County. An asset tag(s) will be assigned and sent to the County by the Board Analyst identified above. Upon receipt, the County must properly affix the asset tag(s) provided below to the equipment.</p>	
<p><b>Asset Tag Number</b> To be provided by the Board</p>	<div style="border: 1px dashed gray; padding: 20px; width: fit-content; margin: 0 auto;"> <p>ASSET TAG</p> </div>

Non-IT = Blue Asset Tag      IT = Red Asset Tag



ASSET INFORMATION	
<b>*Asset Type</b>	
<b>Location/Address</b>	
<b>Make/Model</b>	
<b>Serial Number</b>	
<b>Asset Tag Number</b> To be provided by the Board	<div style="border: 1px dashed gray; padding: 10px; width: fit-content; margin: 0 auto;">ASSET TAG</div>

ASSET INFORMATION	
<b>*Asset Type</b>	
<b>Location/Address</b>	
<b>Make/Model</b>	
<b>Serial Number</b>	
<b>Asset Tag Number</b> To be provided by the Board	<div style="border: 1px dashed gray; padding: 10px; width: fit-content; margin: 0 auto;">ASSET TAG</div>

ASSET INFORMATION	
<b>*Asset Type</b>	
<b>Location/Address</b>	
<b>Make/Model</b>	
<b>Serial Number</b>	
<b>Asset Tag Number</b> To be provided by the Board	<div style="border: 1px dashed gray; padding: 10px; width: fit-content; margin: 0 auto;">ASSET TAG</div>

ASSET INFORMATION	
<b>*Asset Type</b>	
<b>Location/Address</b>	
<b>Make/Model</b>	
<b>Serial Number</b>	
<b>Asset Tag Number</b> To be provided by the Board	<div style="border: 1px dashed gray; padding: 10px; width: fit-content; margin: 0 auto;">ASSET TAG</div>

\*The following examples represent the types of assets that must be inventoried: IT Assets: computer, monitor, fax machine, desktop or network printer, scanner, laptop, etc. Non-IT Assets: copier, shredder, recorder, TV, all furniture – chair, bookcase, cart, credenza, file cabinet, hutch, etc.

## Information Systems Security and Confidentiality

### Acknowledgement

I have read and understand the *CaIVCB Information Systems Security and Confidentiality* requirements listed below. If an issue arises regarding these requirements during my daily work, I understand that I should refer to the *Acceptable Use of CaIVCB Technology Resources Policy, Information Security Policy*, or contact my manager/supervisor to seek further clarification. I understand that failure on my part to comply with these requirements may result in punitive and/or disciplinary action up to, and including, termination.

### I understand that I must:

- Read and understand the CaIVCB Information Security Policy.
- Use CaIVCB information assets and computer resources only for CaIVCB business-related purposes.
- Ensure that my personal use of the internet is minimal and incidental use shall not violate other terms of established policy, be used in an unethical manner, or incur additional costs to the State.
- Access CaIVCB systems and networks using only my assigned confidential user identifiers and passwords.
- Notify the CaIVCB Information Security Officer immediately of any actual or attempted security violations including unauthorized access, theft, and destruction; misuse of systems equipment, software, or data.
- Take precautions to prevent virus contamination of CaIVCB data files, and report any suspected virus or other destructive programs immediately to the Information Technology Section Help Desk.
- Exercise care in protecting confidential data including the use of encryption technology whenever it is required and/or provided by the CaIVCB.
- Not attempt to monitor or tamper with another user's electronic communications or read, copy, change, or delete another user's files or software without the explicit agreement of the owner or per management direction.
- Change passwords at the prescribed expiration intervals.
- Not perform any act that interferes with the normal operation of computers, terminals, peripherals, or networks at CaIVCB.
- Comply with all applicable copyright laws.
- Not disable the virus protection software installed on the CaIVCB network and personal computers.

- Not attempt to circumvent data protection schemes and report to the Information Security Officer immediately any newly identified security vulnerabilities or loopholes.
- Follow certified destruction procedures for information disposal to prevent the unauthorized disclosure of data.
- Use only CalVCB approved hardware and software and never download from the internet or upload from home.
- Not use CalVCB electronic systems to send, receive, or store material that violates existing laws or is of a discriminating, harassing, derogatory, defamatory, threatening, or obscene nature.
- Not illegally use or copy CalVCB software.
- Use care to secure physical information system equipment from unauthorized access, theft, or misuse.
- Access only system areas, functions, or files that I am authorized to use.
- Not share individual account passwords.

I understand that CalVCB reserves the right to review electronic files, electronic messages, internet data and usage at its facility, and those files and messages stored on CalVCB systems may be disclosed under the California Public Records Act, discovered in legal proceedings, and used in disciplinary actions.

<u>vacant</u>	<u>Victim witness</u>	
User Name (Print)	Division or Unit	
<u>vacant</u>	<u>5/24/17</u>	<u>N/A</u>
User Signature	Date	Phone Number
<u>McRe</u>	<u>5/24/17</u>	<u>(805) 568 2408</u>
Manager/Supervisor Signature	Date	Phone Number

### Filing Instructions

**Staff/Contractor:** Once completed, forward the form with original signature to your supervisor/manager.

**Supervisor/Manager:** Forwards the original to Human Resources to be filed in the staff's Official Personnel File.

# Acceptable Use of Technology Resources

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**Memo Number: 17-005**

Date Issued: 1/11/17

Supersedes: 15-003

Effective Date: Immediately

Expires: Indefinite

Issued By: Information Technology Division

## Purpose

The Victim Compensation Board's (CaIVCB) *Acceptable Use of Technology Resources Policy* does the following:

- Defines the rules for the use of the CaIVCB network, wireless network, computer systems, Internet, and other technology resources such as email, desktop workstations, mobile devices, and telephones.
- States clearly that state technology resources are to be used for state business purposes; and,
- Establishes that the Information Technology Division (ITD) routinely monitors CaIVCB technology resources to identify improper use.

## Policy

It is the policy of the CaIVCB that:

- Use of technology resources must comply with the laws and policies of the United States Government and the State of California.
- Each user's assigned job duties and responsibilities are appropriate and regulated.
- Restrictions to CaIVCB ITD assets are based on a staff person's business need (need-to-know).
- CaIVCB's ITD staff may monitor the network continuously and/or periodically to ensure compliance.

## Applicability

This Policy applies to:

- All employees, temporary staff, contractors, consultants, and anyone performing work on behalf of the CalVCB.

**Note:** If any provisions of this Policy are in conflict with a Memoranda of Understanding (MOU), the applicable sections of the MOU will be controlling.

## Management Responsibilities

- Authorize staff to use the network-based resources for appropriate business need.
- Ensure that staff has reviewed all appropriate policies, and signed the Acceptable Use of Technology Resources Policy Acknowledgement form.
- Report any violations to the CalVCB Information Security Officer (ISO).

## User Responsibilities

- Act in the best interest of the CalVCB by adhering to this Policy.
- Use discretion when using CalVCB information technology assets.
- Access only the CalVCB resources that they are authorized to use.
- Use the system only for its designed purposes.
- Keep all passwords confidential.
- Refrain from illegal activities, including unethical or obscene online behavior.
- Access only acceptable material on the Internet.
- Report any violations to a supervisor/manager and ISO.

## Requests for Exception

Requests for exceptions must be submitted to the CalVCB Help Desk via email at [Helpdesk@victims.ca.gov](mailto:Helpdesk@victims.ca.gov) or call x3800 during business hours from 8:00 AM to 5:00 PM.

## Acceptable Activities

The following are examples of acceptable activities:

- Access only those systems and information assets required to perform current CalVCB duties.

- Using a CalVCB state-issued IT asset to connect to CalVCB services to conduct CalVCB business activities.
- Accessing folders, files, and images stored on the CalVCB network for business purposes that are consistent with the staff person's job duties and network privileges.
- Using approved training material related to a user's duties for business-related knowledge or professional growth.
- Use the Internet to view sites, such as governmental and professional societies.
- Incidental use of Internet during breaks and lunch. (Incidental use must be minimal and must comply with all applicable CalVCB policies, practices, and guidelines).

## Restriction on the Use of State IT Resources

The following are examples of unacceptable activities:

- Per Government Code section 8314, the following restrictions apply: incidental personal use that may create legal action, embarrassment, or interferes with the employee's normal work.
- Use of CalVCB IT resources for personal business, or personal gain.
- Intentionally attempting to access information resources without authorization.
- Accessing another employee's IT resource without permission.
- Using another employee's log-on identification credentials.
- Use for any illegal, discriminatory, or defamatory purpose, including the transmission of threatening, obscene, or harassing messages.
- Interfering with another employee's ability to perform their job duties or responsibilities.
- Browsing inappropriate websites such as those that contain nudity or sexual content, malicious content, or gambling.
- Installing or connecting unauthorized software or hardware on a CalVCB-owned and/or managed information resource.
- Storing personal nonbusiness-related data, such as pictures and multi-media files, on any CalVCB IT resource.
- Transmitting confidential information to external recipients without using encryption approved by the CalVCB ISO, and being necessary to execute the employee's specified job duties and responsibilities.

## Incident Reporting

Any incident must be reported immediately to a supervisor/manager and the ISO.

## Violations

Employees who violate this Policy may be subject to revocation of their access to the network, and disciplinary action up to, and including, dismissal.

The CalVCB will investigate all alleged violations and take appropriate action.

## Compliance

All employees must read the *CalVCB Acceptable Use of Technology Resources Policy*, and sign an acknowledgement form upon appointment, and annually thereafter.

## Authority

- Government Code sections 19572 and 19990.
- State Administrative Manual (SAM) sections 5300 through 5365.3
- Government Code Section 8314
- Applicable employee Memoranda of Understanding
- State Information Management Manual (SIMM)

## Other Applicable CalVCB Policies

All employees, temporary staff, contractors, vendors, and consultants who access the CalVCB network for business purposes must comply with all State and CalVCB policies and procedures, including, but not limited to:

- Information Security Policy
- Password Policy
- Mobile Device Policy
- Telework Policy
- Privacy Policy
- Mobile Device Policy
- Wireless Access Policy



## Contact

For any questions about this Policy, please contact your immediate supervisor/manager or the CalVCB ISO.



# Privacy Policy

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**Memo Number: 17-010**

Date Issued: 1/1/17

Supersedes: 16-007

Effective Date: Immediately

Expires: Indefinite

Issued By: Information Technology Division

## Purpose

The purpose of this Policy is to protect employees and the California Victim Compensation Board (CalVCB) from actions that would:

- Damage the reputation of the CalVCB.
- Endanger employees, contractors, or citizens that rely on CalVCB.
- Present a legal risk to CalVCB.

## Policy

It is the Policy of CalVCB that:

- All personal, and personally identifiable information (PII) collected by CalVCB is necessary for the organization to perform its function.
- CalVCB will not retain PII for any longer than necessary to comply with the law, policy, regulations, and/or to perform its function.
- Staff will be trained on appropriate methods, classification of, and purposes for collecting PII.
- PII will be disposed of by confidential destruct.
- Users who violate the Policy will be subject to disciplinary action up to, and including, dismissal. Further, CalVCB will report suspected breaches of privacy to law enforcement, and the CA Information Security Office.
- Staff has the right to access their information that is gathered, stored, or used by CalVCB. Staff may request and view their information according to the [Information Practices Act](#) and [State Policy](#).

## Definition

- Privacy is defined as the freedom from secret surveillance, or unauthorized disclosure of one's personal data or information, as by a government, corporation, or individual.
- Privacy is the right of people to be free from unwarranted viewing, recording, photographing, and invasion into one's personal life. Ordinary citizens have a qualified right to privacy.

## Applicability

- This Policy applies to all employees, temporary staff, contractors, consultants, and anyone performing work on behalf of CalVCB.
- If any provisions of this Policy are in conflict with a Memorandum of Understanding (MOU) with a State employee union, the applicable sections of the MOU will be controlling.

## Management Responsibility

- Establish a Privacy Officer who will be responsible for maintaining the privacy program at CalVCB.
- Authorize staff to collect appropriate forms of personal and personally identifiable information.
- Ensure that staff has appropriate training.
- Ensure that staff has reviewed all appropriate policies.
- Ensure that staff has signed the Privacy Policy Acknowledgement Form upon appointment and annually thereafter.
- Report abuse or suspected privacy violations immediately to the Information Security & Privacy Officer.

## Staff Responsibility

- Read the Privacy Policy and sign the acknowledgment form upon appointment and annually thereafter.
- Follow all privacy procedures and processes.
- Immediately report any privacy violation to their supervisor and/or Information Security & Privacy Officer.
- Secure all PII so no unauthorized person can obtain access.

- Properly dispose of PII.

## Privacy Officer Responsibility

- To manage the privacy program.
- To ensure that privacy training is taken by all staff annually.
- To respond to privacy breaches in a timely manner and report to appropriate authorities.
- To maintain a robust privacy program that protects the privacy of staff and participants.
- The Information Security Officer will have the dual role as the CaIVCB Privacy Officer.

## Acceptable Use

Official CaIVCB business needs only.

## Monitoring

Managers will monitor staff to ensure that no PII is left exposed.

## Incident Reporting

All incidents must be reported immediately to a manager/supervisor and the Information Security & Privacy Officer.

## Violations

All employees who violate this Policy may be subject to disciplinary action up to, and including, dismissal.

## Compliance

- All employees must read and sign a Privacy Policy Acknowledgement Form before being allowed to handle PII.
- The form will be retained in the staff's Official Personnel File.

## Authority

- Government Code sections 11019.9, 13952 to 13954

## POLICY MEMO



- Information Practices Act of 1977 (Civil Code section 1798 et seq.)
- SAM 5310
- SIMM 5310

## Other Applicable CalVCB Policies

- Acceptable Use of CalVCB Technology Resources Policy
- Information Security Policy
- Telework Policy
- Mobile Device Policy

## Contact

For any questions about this Policy, please contact your immediate manager/supervisor or Information Security & Privacy Officer at [InfoSecurityandPrivacy@victims.ca.gov](mailto:InfoSecurityandPrivacy@victims.ca.gov)

## Distribution

All CalVCB staff

# Password Policy

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**Memo Number: 17-012**

Date Issued: March 24, 2017

Supersedes: 07-00-013

Effective Date: Immediately

Expires: Indefinite

Issued By: Information Technology Division

## Policy

Any passwords used for User shall be complex and protected from unauthorized disclosure.

## Purpose

To provide information regarding the minimum level of password protection required for CalVCB information assets.

## Requirements

Passwords shall always be kept confidential.

Passwords shall not be viewable on a display device.

## Password Standards

Passwords shall not contain personal information associated with the user that could be easily guessed.

Passwords shall not be words contained in English or foreign language dictionaries, spelling lists, or other lists of words. Passwords shall not be familiar acronyms, or slang expressions in common use.

Passwords shall not be the same as the User Identification (user id).

Passwords shall not consist solely of a repeating or sequential set of characters or numbers (i.e. 11111111, 12345678, ABCDEF, etc.)

Passwords shall contain characters from each character type indicated in the [Password Character Type](#) table that is appropriate to the level of security required for a specific role.

## Changing Passwords

A password shall be changed immediately if it is suspected or discovered to be known by another individual.

Passwords shall be changed regularly. Refer to the [Password Standards](#) table for the maximum time allowed before a password must be changed.

All new passwords shall be significantly different from previous passwords (i.e. 1FONSE & 2FONSE are not significantly different).

Passwords protecting group accounts shall be changed immediately when a member of the group no longer needs access to the group account.

## Initial Passwords

The distribution of initial user passwords shall use methods that ensure only the intended user learns the passwords.

Initial User Passwords shall conform to password practice requirements and standards.

Initial User Passwords shall be unique to each user.

The Initial User Password shall be changed by the user the first time it is used.

## Session Inactivity Protection

After a user's login session has been inactive for the period of time specified in the [Password Standards](#) table, they must either re-enter their password or login again before the login session can be resumed.

## Lockout

A User shall be locked out of the system when the standard threshold of unsuccessful attempts has been reached. Refer to the [Password Standards](#) table for those values.

Users that are locked out of the system as a result of too many unsuccessful attempts to enter a password must have their identity verified before they will be permitted access to that system.

## Stored or Transmitted Passwords

Passwords that are stored on a system or transmitted across external networks shall be encrypted using a method that meets current 3-level Data Encryption Standards or hashed

using a message-digest algorithm is 3DES (or equivalent) or hashed using a method that is MD5 (or equivalent).

### **Business Partners Passwords**

Access to business services provided by the CalVCB Internet sites by Employers and Business Partners shall be protected with a Business Partners Password.

### **User Passwords**

User Passwords shall be used to authenticate a user's access to the CalVCB internal systems, applications, or resources.

### **Remote Access Passwords**

Remote Access Passwords shall be used to authenticate a user's access to CalVCB internal systems and/or applications via Internet or inbound dial methods. Remote Access Passwords shall be randomly generated and valid for only one use.

### **Administration Passwords**

Administration Passwords shall be used by administrators to authenticate themselves for access to restricted information and resources (i.e. administrator accounts or configuration files for critical system components).

### **Stored and Embedded Passwords**

Systems and/or applications that must authenticate to each other shall use stored or embedded passwords.

Access to Stored and Embedded Passwords shall be restricted to the minimum number of staff necessary to support the systems and/or the applications that use them.

Stored passwords shall be contained in a file or database that is external to the application and can only be accessed by authorized systems, applications, and users.

Embedded passwords shall be contained within the system or application.

### **Default Passwords**

Before any hardware and/or software are put into production at the CalVCB, any default passwords that it uses shall be set to values that conform to the Password Policy.

### Exception Approval

Any non-compliance with the Password Policy shall be approved by the Chief Information Officer and Information Security Officer and should be documented.

### Password Standards

Role	Business Partners	User	Remote Access	CaRES User	Admin (Service Accounts)	Stored	Embedded
Minimum password length (characters)	8	8	6 (Hardware Token)	8 and max of 32	8	8	8
Maximum time between password changes (days)	None	90	60 sec	90	90	None	None
Minimum time between password changes (days)	None	1	60 sec	none	1	None	None
Threshold of unsuccessful login attempts before account is disabled	3	5	3	5	3	5	3
Passwords must contain characters from each specified type of the Password Character Type Table	Based on Business partner password policy	1, 2	2	1,2,3	1,2,3,	1,2,3	1,2,3
Inactivity duration for session protection (maximum minutes)	20	20	20	20	20	None	None



## Password Character Type Table

Types	Description	Example
Type 1	Letters (upper and lower case)	A, B, C, ... Z a, b, c, ... z
Type 2	Numerals	0, 1, 2, ... 9
Type 3	Special characters (category 1)	Symbols in the top row of the keyboard: `~!@#\$%^&*()-_+=

## Guidelines

### Automatic System Enforcement

Systems and/or applications should automatically enforce the password requirements and standards when automatic enforcement is possible.

### Encrypted Transmission

Passwords should be encrypted when transmitted across internal networks.

### Writing Down Passwords

Users should memorize their passwords and not write them down. If a password must be written down, the following precautions should be observed:

- Do not write down your password while you are in a public area where others could observe your writing.
- Do not identify your password as being a password.
- Do not include the name of the account and the dial-in telephone number of the system on the same piece of paper.
- Mix in extra characters or scramble the written version of the password in a way that you will remember, making the written version different from the real password.
- Do not attach the password to your terminal, keyboard, or any part of your computer or office furniture.
- Store a written password in a secure place like a wallet or purse.

### Minimizing the Number of User Passwords

Systems shall be developed in a manner so the number of different passwords a user must know is minimized.

## Change Embedded Password

Embedded passwords shall be changed when the programs they affect are also changed for routine enhancements or maintenance.

Accounts associated with stored or embedded passwords shall have account names that are difficult to guess to lessen the likelihood that these accounts can be disabled by unauthorized logon attempts as outlined in the [Passwords Standards](#) table.

## Account Names for Stored and Embedded Passwords

Passwords shall be changed when a system/application is put into production so that the production passwords are known only to the Production Control staff and the system/application/data owner.

## Compliance and Authority

Refer to the CalVCB Information Security Policy.

## Who to contact for questions

For any questions about this Memo please contact your supervisor or manager, or the CalVCB Information Security Officer by e-mail at [InfoSecurityandPrivacy@victims.ca.gov](mailto:InfoSecurityandPrivacy@victims.ca.gov).

## INSTRUCTIONS FOR COMPLETING MONTHLY INVOICES

All costs in the following categories/subcategories should be included if they were necessary to perform the services under this agreement and provided for in the budget. The total for each category/subcategory should be shown in the far right column.

### Personnel Services - Salaries and Wages

List each employee by name and position classification and show the percentage of time devoted to the program. Example: If the person is employed full-time, show the following: \$2,500 per month at 100% time = \$2,500. If the person is employed part-time, show the hourly rate and the number of hours devoted to the program (e.g., \$25/hour for 10 hours per month = \$250) or the monthly salary and the percentage of time devoted to the program (e.g., 50% x \$2,500 = \$1,250).

### Fringe Benefits

Elements that can be included in the fixed rate include employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance and/or pension plans. Other benefits, if negotiated as a part of the employee benefit package, also may be included in the fixed rate.

The description and amounts of fringe benefits can be displayed either by category, position or class. Please note that a line item can be used for each different position/class, if the benefits vary. If several people are employed full-time or part-time in the same position/class, provide the number of full-time equivalents.

### Operating Expenses

The following items fall within this category: rent, utilities, insurance, equipment rental, equipment repair, office supplies, telephone, postage, expendable equipment, overhead, data processing, training and travel. All items submitted must include a description or explanation of the expense.

The following subcategories have special requirements as noted below.

### Rent

The rent subcategory is for facility rental. Indicate the number of square feet specified in the agreement as well as the rental amount.

### Office Supplies

A request for office supplies in excess of \$500 per PY requires a justification for the entire amount of expenditures.

### Expendable Equipment (Non-capitalized assets)

Expendable equipment includes equipment with an acquisition cost of \$499 or less per unit (including tax, installation and freight) or with a useful life of less than five years. Provide a detailed description and indicate the number of pieces of equipment being purchased.

### Note

Although equipment is included in the budget, **ALL** equipment for which the county requests reimbursement from the California Compensation Board (CaV/CB) must be requested in writing by the county and approved in writing by CaV/CB **prior to purchase**. All requests must be submitted on the **County Purchase Request Form**. Further, CaV/CB reserves the option of not reimbursing for equipment that is not requested and approved in writing prior to purchase.

### Overhead/Indirect Costs

Overhead costs are indirect costs which cannot be charged to a direct cost category because they are not readily itemized or assignable to a particular program. Overhead costs are costs necessary to the operations specified in the agreement. The costs of centralized county services such as personnel or accounting services are examples of indirect costs. For further information, please refer to Exhibit D 9.

Travel

The contractor may use either its own written travel and per diem policy or the state policy in accordance with State Administrative Manual Section 0700 but it cannot exceed reimbursement rate of the state's travel policy.

Allowable travel expenses are costs for transportation, lodging, meals and incidental items incurred by the contractor staff to attend training classes, conferences, meetings, workshops or hearings. Out-of-state travel is not authorized.

Describe the purpose of the trip and list all personnel who made the trip. If applicable, show any computation if mileage is being claimed. For example, if the Specialist attended a conference in Sacramento, 100 miles @ 0.34 per mile = \$34.00.

Equipment (Capitalized Assets)

Capitalized assets includes equipment with an acquisition of \$500 or more per unit (including tax, installation and freight) or with a useful life of five years or more. Examples of such equipment are copiers, personal computers (including the monitors and CPU) and "modular furniture". Provide a detailed description and indicate the number of pieces of equipment being purchased.

For information regarding authorization to purchase equipment, please see notation under Equipment (Non-capitalized assets).

Miscellaneous Expenses

Miscellaneous expenses are those charges that do not fall within the scope of the categories listed above. Provide a detailed description and breakdown of any expense identified as miscellaneous.

INVOICE WORKSHEET

ATTACHMENT VI

County and Agency:		Contract Number:			
Personnel Services	Billing Month/Year	Salary/Hourly Rate Range	Salary/Hourly Rate	Hours Worked	% billed
<b>SALARIES AND WAGES</b>	<b>Billed Amount</b>				
Name:					
Name:					
Name:					
Name:					
Name:					
<b>FRINGE BENEFITS</b>	<b>Billed Amount</b>	<b>PERCENTAGE OF SALARY / DESCRIPTION</b>			
Name:					
Name:					
Name:					
Name:					
Name:					
<b>PERSONNEL SERVICES TOTAL</b>					
<b>Operating and Overhead Expenses</b>	<b>Billed Amount</b>	<b>DESCRIPTION OF EXPENSES</b>			
<b>I. FACILITY OPERATIONS</b>					
Rent					
Utilities					
<b>II. OPERATING EXPENSES</b>					
Postage					
Data Processing (SPECIFY)					
Office Supplies					
Telephone					
<b>III. TRAINING (specify date, location, purpose)</b>					
<b>IV. TRAVEL (specify date, location, purpose)</b>		<b>REIMBURSED AT CURRENT CAIHR RATES</b>			
Mileage (SHOW CALCULATION)					
<b>V. INDIRECT COSTS (≤ 10% salary/fringe)</b>					
<b>VI. EQUIPMENT</b>					
<b>OPERATING &amp; OVERHEAD EXPENSES TOTAL</b>					
<b>TOTAL EXPENDITURES</b>					
<i>I certify that this is a true billing of expenditures.</i>					
ACCOUNTING OFFICER SIGNATURE			DATE		
NAME AND TITLE			TELEPHONE NUMBER		
ADDRESS PAYMENTS SHOULD BE SENT TO:					

## COUNTY PURCHASE REQUEST FORM: INSTRUCTIONS AND RESPONSIBILITIES

### County Staff Responsibilities - Request

1. County staff will complete each section of the County Purchase Request Form (form) and obtain County authorization.
2. The County will then submit the form to their assigned CRC/JP Analyst.

### CRC/JP Analyst Responsibilities - Review

1. CRC/JP Analyst reviews form to verify it is completed correctly and that sufficient funds are available.
  - If the form is not filled out correctly, **the form is returned** to the County with instructions on how to proceed (i.e., complete cost, provide justification, etc.).
2. CRC/JP Manager will either sign and approve the form, or deny the request and return the form to the County with an explanation of the denial.
3. If approved, CRC/JP Analyst will send the signed, approved form to BSB for further processing.

### BSB Staff Responsibilities - Process

1. BSB staff will verify the equipment/cost and accept or make recommendations based on appropriateness and pricing. If the request is acceptable, the BSB Manager will sign and approve the form.
  - If the form is not filled out correctly, BSB staff will note the necessary changes needed and returns the form to CRC/JP Analyst.
2. BSB will note on the form whether Approved, Approved w/Changes, or Denied. Changes or reason for denial will be noted on the form.
3. BSB will make a copy of the form and return the signed copy to the CRC/JP Analyst for processing.
  - If the form includes a request for ITD equipment, BSB will first forward the form to ITD for processing.

### ITD Staff Responsibilities - Process

1. ITD will verify that the purchase is appropriate/compatible and authorize the IT equipment by checking "Approved".
  - If alternate equipment is recommended, ITD will check "Approved w/Changes" and explain the reason for the change.
  - If the equipment request is not approved, ITD will check "Denied".
2. ITD will route the form to BSB for further processing.
3. Upon receipt, BSB will make a copy of the form and return it to the appropriate CRC/JP Analyst.

### CRC/JP Analyst Responsibilities - Status

1. The CRC/JP Analyst can then notify the County of the status of the request, and if it has been approved, to proceed with their purchase.

### County Staff Responsibilities – Asset/Inventory

1. Once the new equipment is received, County staff will complete a State Asset Identification Form and submit it within 10 business days to the CalVCB's Business Services Section at [BSSSupport@victims.ca.gov](mailto:BSSSupport@victims.ca.gov) and cc the CRC/JP Analyst.
2. An asset tag(s) will be sent from the CalVCB to County staff once the equipment has been received.
  - A BLUE asset tag will be issued for non-IT equipment; a RED asset tag will be issued for IT equipment.
3. County staff will affix the asset tag(s) to the new equipment.

**Annual Inventory:** By June 30th of each fiscal year, County staff must submit a completed County Inventory Form which details all equipment purchased with CalVCB funds. This form must be returned to the CalVCB's Business Services Branch at [BSSSupport@victims.ca.gov](mailto:BSSSupport@victims.ca.gov) with a cc to the CRC/JP Analyst by **July 5th of the current contract fiscal year**. A copy of the reconciled County Inventory Form will be returned to the County for their records and the CRC/JP Analyst will be cc'd.

## COUNTY PURCHASE REQUEST FORM

(formerly the Equipment Purchase Justification  
 Authorization Request Form)

	The following information must be provided in order for authorization to be granted for the purchase of equipment through the County's contract. As stated in the contract, <b>all equipment purchases must be justified by the requesting County and approved by the CalVCB</b> . If the request is not approved by the CalVCB, the purchase will not be authorized for payment through the contract. <b>A separate form must be completed for each piece of equipment being requested.</b>		
<b>1.</b>	<b>COUNTY CONTACT INFORMATION</b>		
	County:	Contract Number:	Fiscal Year Funded:
	Contact Name:	Address:	Phone Number:
	Email:		
<b>2.</b>	<b>EQUIPMENT REQUEST</b>		
	Submission of this form is not a guarantee of equipment approval. The CalVCB's CRC/JP Analyst, Business Services Branch (BSB) Analyst, and Information Technology Division (ITD) Analyst, will verify the request and make recommendations based on appropriateness and pricing. Alternatives may be recommended. Incomplete forms will be returned to the County. <i>Note: Acquisition of an equipment maintenance plan is the responsibility of the County, and may be funded through the contract.</i>		
	Equipment Type:	Make:	Model:
			Cost:
	Software: (e.g., Windows 7, Microsoft Office Suite)		Cost:
	Equipment Maintenance Plan: (describe terms/pricing)		Cost:
	Explain how payment for the equipment shall be made: (approved in contract budget, purchased by VCP, other)		
<b>3.</b>	<b>PURCHASE JUSTIFICATION</b>		
	Explain in full detail why this equipment is needed (replacing equipment that is over 5 years old, ongoing equipment performance issues, additional staff, etc.). You may be contacted by the CRC/JP Analyst to provide additional information.		
<b>4.</b>	<b>COUNTY AUTHORIZATION</b>		
	By signing this form, the County Coordinator/Supervisor agrees that the information provided is accurate and true, and that the equipment/software is necessary to conduct State business. The coordinator/supervisor is also accepting responsibility to ensure that upon receipt, the asset tag provided for this equipment will be properly affixed to the equipment.		
	County Coordinator/Supervisor Signature:		Date:
<b>5.</b>	<b>PURCHASE APPROVAL</b>		
	If the purchase is approved, a fully executed copy of the County Purchase Request Form will be returned to the County Contact (see Page 2). The County may then proceed with their equipment purchase. Carefully review the approval as alternative equipment may have been authorized.		

**NOTE: Retain a copy of this document for further processing. After equipment has been acquired, the County will be required to complete the CalVCB Asset Identification Form. This form will provide the CalVCB with the information needed to document the equipment specifications and serial number. Upon receipt by the CalVCB, an asset tag will be assigned and sent to the County with further instructions.**

## COUNTY PURCHASE REQUEST FORM

(formerly the Equipment Purchase Justification  
Authorization Request Form)

<b>For CalVCB Staff Use Only:</b>			
<p>The CRC/JP Analyst is responsible for determining if the equipment/software is necessary for the County to conduct State business, and will also ensure that the form is complete, accurate, and contains the appropriate signature. The CRC/JP Analyst will serve as the liaison between the County Contact and/or the BSB/ITD Analysts for clarifying or resolving any issues. Upon review/approval by the CRC/JP Analyst and the CRC/JP Manager, the form will be forwarded to BSS for further review and processing.</p>			
<p><b>CRC/JP Analyst Staff Comments:</b></p>			
<p>This request is:   <input type="checkbox"/> Approved   <input type="checkbox"/> Denied</p>		<p>CRC/JP Analyst Name:</p>	<p>Date:</p>
<p>CRC/JP Manager's Signature (required)</p>	<p>Signature:</p>		<p>Date:</p>
<p>The BSB Analyst is responsible for determining if the equipment requested is proportionate to staff size, available through State contracts, best pricing and/or quotes obtained, etc. If this request is for IT equipment, components or software, BSB will forward to ITD for additional review/approval.</p>			
<p><b>BSB Approval / Comments</b> (include Approved Changes or Denial details in this section):</p>			
<p>This request is:   <input type="checkbox"/> Approved   <input type="checkbox"/> Approved w/Changes   <input type="checkbox"/> Denied</p>			<p>Approved by (BSB Analyst):</p>
<p>BSB Manager's Signature (required)</p>	<p>Signature:</p>	<p>Date:</p>	<p>ITD Review/Approval Required? Yes <input type="checkbox"/>   No <input type="checkbox"/></p>
<p>The ITD Analyst is responsible for determining if the IT equipment requested is compatible with CalVCB equipment and/or meets all requirements to interface with the CalVCB's database, and may also determine if the equipment requested is proportionate to staff size, available through State contracts, best pricing and/or quotes obtained, etc. ITS and BSS will consult regarding equipment replacement, as necessary.</p>			
<p><b>ITD Approval/Comments</b> (include Approved Changes or Denial details in this section):</p>			
<p>This request is:   <input type="checkbox"/> Approved   <input type="checkbox"/> Approved w/Changes   <input type="checkbox"/> Denied</p>			<p>Approved by (ITD Analyst):</p>
<p>ITD Manager's Signature (required for IT purchases only)</p>	<p>Signature:</p>		<p>Date:</p>



## COUNTY PURCHASE REQUEST FORM: INSTRUCTIONS AND RESPONSIBILITIES

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  - If the form is not filled out correctly, BSB staff will note the necessary changes needed and returns the form to CRC/JP Analyst.
2. BSB will note on the form whether Approved, Approved w/Changes, or Denied. Changes or reason for denial will be noted on the form.
3. BSB will make a copy of the form and return the signed copy to the CRC/JP Analyst for processing.
  - If the form includes a request for ITD equipment, BSB will first forward the form to ITD for processing.

### ITD Staff Responsibilities - Process

1. ITD will verify that the purchase is appropriate/compatible and authorize the IT equipment by checking "Approved".
  - If alternate equipment is recommended, ITD will check "Approved w/Changes" and explain the reason for the change.
  - If the equipment request is not approved, ITD will check "Denied".
2. ITD will route the form to BSB for further processing.
3. Upon receipt, BSB will make a copy of the form and return it to the appropriate CRC/JP Analyst.

### CRC/JP Analyst Responsibilities - Status

1. The CRC/JP Analyst can then notify the County of the status of the request, and if it has been approved, to proceed with their purchase.

### County Staff Responsibilities – Asset/Inventory

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# CALIFORNIA VICTIM COMPENSATION BOARD CRC Specialist Monthly Activity Timesheet

Month and Year:

CRC Specialist:

County:

Day	Duties						Administration				Leave							
	Securing Orders	Modifying Orders	Court Appearances	Rest. Training/Outreach	CDTS / Data entry	Other	Training	Meetings	Other	Total	Vacation, CTO, P/LP	Sick Leave	Holiday, Other Leave	Total Hours				
1										0.00				0.00				
2										0.00				0.00				
3										0.00				0.00				
4										0.00				0.00				
5										0.00				0.00				
6										0.00				0.00				
7										0.00				0.00				
8										0.00				0.00				
9										0.00				0.00				
10										0.00				0.00				
11										0.00				0.00				
12										0.00				0.00				
13										0.00				0.00				
14										0.00				0.00				
15										0.00				0.00				
16										0.00				0.00				
17										0.00				0.00				
18										0.00				0.00				
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24										0.00				0.00				
25										0.00				0.00				
26										0.00				0.00				
27										0.00				0.00				
28										0.00				0.00				
29										0.00				0.00				
30										0.00				0.00				
31										0.00				0.00				
<b>Total</b>																		

NOTES: