

# EXHIBIT INFORMATION HEADER

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Note: portions of the exhibit information provided may or may not contain page numbers. The total number of pages indicated on the cover page does not include the pages contained in this exhibit.

## 1.0 Exhibit 1: Glossary of Common Terms used in this RFP

Glossary	
Word	Definition
Active Directory	An AD domain controller authenticates and authorizes all users and computers in a Windows domain type network—assigning and enforcing security policies for all computers and installing or updating software. For example, when a user logs into a computer that is part of a Windows domain, Active Directory checks the submitted password and determines whether the user is a system administrator or normal user.
Administrator	A user who has additional permissions or privileges from an end user. May be a business administrator or a technical system administrator.
AFP Print Stream	Advanced Function Presentation (AFP) Using AFP, users can control formatting, the form of paper output, whether a document is to be printed or viewed online, and manage document storage and access in a distributed network across multiple operating system platforms. AFP is primarily used in large enterprises for production variable data printing (VDP)
Annotation	A comment or instruction added during the document review process.
API	Application programming interface (API). In most procedural languages, an API specifies a set of functions or routines that accomplish a specific task or are allowed to interact with a specific software component.
Archive	a repository for historical records and information
ASCII	American Standard Code for Information Interchange. ASCII codes represent text in computers, communications equipment, and other devices that use text
Audit Trail	Log of who changed what, why, and when for accountability. Governmental regulations may dictate that the audit trail shall contain the old value, new value, who, and when the value was changed.
BPEL	(Business Process Execution Language) BPEL standardizes how business processes flow and describes the process logic for the involved Web services will be invoked.
BLOB	(Binary Large Object) BLOB is a collection of binary data stored as a single entity in a database management system. Blobs are typically images, audio or other multimedia objects.
ClickOnce	ClickOnce is a Microsoft technology that enables the user to install and run a Windows application by clicking a link in a web page. ClickOnce-deployed applications are considered 'low impact', in that they are installed per-user, not per-machine. No administrator privileges are required to install one of these applications. Each ClickOnce application is isolated from the other. This means one ClickOnce application is not able to 'break' another.
CMS	Content management system (CMS) is a system used to assist its users in the process of content management. A CMS facilitates the organization, control, and publication of a large body of documents and other content, such as images and multimedia resources. A CMS often facilitates the collaborative creation of documents. It does not apply records retention or dispose of records within its system. However, it is a component of Document Management System.
Computer Output to Laser Disc (COLD)	COLD (Computer Output to Laser Disk [and to other media]) captures your enterprise's reports, statements, invoices, etc., directly from a host computer (main frame). COLD data is then compressed by as much as 95%. Documents are stored, automatically indexed and made available via the Web, LAN/WAN, or Disk. Data may even be overlaid on company-specific forms; COLD data easily combines with the graphic image of a form to create a universally accessible PDF.
Content Management	Content Management is a set of processes and technologies that support the evolutionary life cycle of digital information. For example, an instance of digital content is created by one or more authors. Over time that content may be edited. One or more individuals may provide some editorial oversight thereby approving the content for publication. Later that content may be superseded by another form of content and thus retired or removed from use. Content management is an inherently collaborative process. It often consists of the following basic roles: Content author, Editor, Publisher, Administrator, and Consumer. A critical aspect of content management is the ability to manage versions of content as it evolves - version control.
CSR	Customer Service Representative
CSV File	A comma-separated value (CSV) (also sometimes called character-separated values, because the separator character does not have to be a comma) file stores tabular data (numbers and text) in plain-text form. This format can be opened in Microsoft Excel.
Data Classification	Data Classification - is the conscious decision to assign a level of sensitivity to data as it is being created, amended, enhanced, stored, or transmitted. The classification of the data should then determine the extent to which the data needs to be controlled or secured and is also indicative of its value in terms of Business Assets
Delegate	To appoint a person to a particular task or responsibility in place of oneself. Also known as a proxy.
DJDE Print Stream	Dynamic job descriptor entries (DJDEs) are parameters embedded within the input data stream. DJDEs modify the printing environment established by a job descriptor entry (JDE) as the job is printing. Dynamic job descriptor entry processing allows certain JDE parameters to be changed for individual pages or records
Document	An object that contains content (e.g., an MS Word document).
Document Management System (DMS)	Document Management System - A document management system (DMS) is a computer system (or set of computer programs) used to track and store electronic documents. It is usually also capable of keeping track of the different versions modified by different users (history tracking). The term has some overlap with the concepts of content management systems. It is often viewed as a component of Document Management System (DMS) systems and related to digital asset management, document imaging, workflow systems and records management systems.
Document Type	A term for classifying similar documents into groups for the purpose of utilizing standard lifecycles, workflow processes, user access, etc.
DoD5015.2	DoD5015.2 - A standard (DOD 5015.2) issued by the Assistant Secretary of Defense for Command, Control, Communications and Intelligence (Department of Defense). The standard sets forth mandatory and optional baseline functional requirements for records management application software. The standard is available at <a href="http://jtc.fhu.disa.mil/rDMSgt/">http://jtc.fhu.disa.mil/rDMSgt/</a> .
DSU	Disability Services Unit
DWG File format	DWG (DraWinG) is a binary file format used for storing two and three dimensional design data and metadata. It is the native format for several CAD packages including DraftSight, AutoCAD, IntelliCAD (and its variants) and Caddie.
DXF File format	DXF stands for Drawing eXchange Format used for CAD (Computer Aid Drawing)
EBCDIC text	Extended Binary Coded Decimal Interchange Code (EBCDIC) is an 8-bit character encoding used mainly on IBM mainframe and IBM midrange computer operating systems.
DMS Capture	Capture primarily involves accepting and processing images of paper documents from scanners or multifunction printers.

Glossary	
Word	Definition
	Optical character recognition (OCR) software is often used, whether integrated into the hardware or as stand-alone software, in order to convert digital images into machine readable text. Optical mark recognition (OMR) software is sometimes used to extract values of check-boxes or bubbles. Capture may also involve accepting electronic documents and other computer-based files.
DMS Collaboration	Collaboration should be inherent in an EDMS. In its basic form, a collaborative EDMS should allow documents to be retrieved and worked on by an authorized user. Access should be blocked to other users while work is being performed on the document. Other advanced forms of collaboration allow multiple users to view and modify (or markup) a document at the same time in a collaboration session. The resulting document should be viewable in its final shape, while also storing the markups done by each individual user during the collaboration session.
DMS Distribution	A published document for distribution has to be in a format that cannot be easily altered. As a common practice in law regulated industries, an original master copy of the document is usually never used for distribution other than archiving. If a document is to be distributed electronically in a regulatory environment, then the equipment tasking the job has to be quality endorsed AND validated. Similarly quality endorsed electronic distribution carriers have to be used. This approach applies to both of the systems by which the document is to be inter-exchanged, if the integrity of the document is highly in demand.
DMS Indexing	Indexing tracks electronic documents. Indexing may be as simple as keeping track of unique document identifiers; but often it takes a more complex form, providing classification through the documents' metadata or even through word indexes extracted from the documents' contents. Indexing exists mainly to support retrieval. One area of critical importance for rapid retrieval is the creation of an index topology.
DMS Integration	Many document management systems attempt to integrate document management directly into other applications, so that users may retrieve existing documents directly from the document management system repository, make changes, and save the changed document back to the repository as a new version, all without leaving the application. Such integration is commonly available for office suites and e-mail or collaboration/groupware software. Integration often uses open standards such as ODMA, LDAP, WebDAV and SOAP to allow integration with other software and compliance with internal controls.[citation needed]
DMS Metadata	Metadata is typically stored for each document. Metadata may, for example, include the date the document was stored and the identity of the user storing it. The DMS may also extract metadata from the document automatically or prompt the user to add metadata. Some systems also use optical character recognition on scanned images, or perform text extraction on electronic documents. The resulting extracted text can be used to assist users in locating documents by identifying probable keywords or providing for full text search capability, or can be used on its own. Extracted text can also be stored as a component of metadata, stored with the image, or separately as a source for searching document collections.
DMS Publishing	Publishing a document involves the procedures of proofreading, peer or public reviewing, authorizing, printing and approving etc. Those steps ensure prudence and logical thinking. Any careless handling may result in the inaccuracy of the document and therefore mislead or upset its users and readers. In law regulated industries, some of the procedures have to be completed as evidenced by their corresponding signatures and the date(s) on which the document was signed. Refer to the ISO divisions of ICS 01.140.40 and 35.240.30 for further information.[3][4]
DMS Reproduction	Document/image reproduction is key when thinking about implementing a system. It's great to be able to put things in, but how are you going to get them out? An example of this is building plans. How will plans be scanned and scale is retained when printed?
DMS Retrieval	More flexible retrieval allows the user to specify partial search terms involving the document identifier and/or parts of the expected metadata. This would typically return a list of documents which match the user's search terms. Some systems provide the capability to specify a Boolean expression containing multiple keywords or example phrases expected to exist within the documents' contents. The retrieval for this kind of query may be supported by previously built indexes, or may perform more time-consuming searches through the documents' contents to return a list of the potentially relevant documents. See also Document retrieval.
DMS Searching	Searching finds documents and folders using template attributes or full text search. Documents can be searched using various attributes and document content.
DMS Security	Document security is vital in many document management applications. Compliance requirements for certain documents can be quite complex depending on the type of documents. For instance, in the United States, the Health Insurance Portability and Accountability Act (HIPAA) requirements dictate that medical documents have certain security requirements. Some document management systems have a rights management module that allows an administrator to give access to documents based on type to only certain people or groups of people. Document marking at the time of printing or PDF-creation is an essential element to preclude alteration or unintended use.
DMS Storage	Store electronic documents. Storage of the documents often includes management of those same documents; where they are stored, for how long, migration of the documents from one storage media to another (hierarchical storage management) and eventual document destruction.
DMS Workflow	Workflow is a complex process and some document management systems have a built-in workflow module. There are different types of workflow. Usage depends on the environment to which the electronic document management system (EDMS) is applied. Manual workflow requires a user to view the document and decide whom to send it to. Rules-based workflow allows an administrator to create a rule that dictates the flow of the document through an organization: for instance, an invoice passes through an approval process and then is routed to the accounts-payable department. Dynamic rules allow for branches to be created in a workflow process. A simple example would be to enter an invoice amount and if the amount is lower than a certain set amount, it follows different routes through the organization. Advanced workflow mechanisms can manipulate content or signal external processes while these rules are in effect.
EHOC	Employee History on Computer - Used in SLIM, HR2K files and OAKS Job Data. An EHOC contains just a simple record line item indicating the date and subject of the personnel action. An employee's career history will contain a record line that affects pay, benefits, and job status.
Electronic Records Management System	Electronic Records Management System (ERMS) is software used by an organization to manage its records from creation to final disposition. The system's primary management functions are categorizing and locating records and identifying records that are due for disposition. The Electronic Records Management System also stores, retrieves, and disposes of the electronic records that are stored in its repository. ERMS is a component of Document Management System.
Electronic Signature	A computer data compilation of any symbol or series of symbols executed, adopted, or authorized by an individual to be the legally binding equivalent of the individual's handwritten signature.

Glossary	
Word	Definition
ePAR	Electronic Personnel Action Request System. Replaces manual labor intensive PA workflow process. Agencies and DAS can access, create, and manage personnel actions for their employees. An approved change in ePAR will alter the JOB DATA and the employee's job, pay, or benefits.
ePerformance	Electronic Performance Evaluation System. All agencies under the DAS jurisdiction are required to use and manage performance evaluations for their employees with this system.
FileNET	IBM Document and Content Management System. All Personnel Action forms and Support documents from 1940 to current date scanned, indexed, and stored.
HCM	Human Capital Management
HR2K or Legacy Records	Mainframe database system. Located at ODNMainframeProdMod2 A Contain all electronic EHOC records from employees who were active from 1990 to current date.
HRD	Human Resource Division for DAS
HTML File format	Contain all electronic EHOC records from employees who were active from 1990 to current date.
IBM AFP	Advanced Function Presentation (AFP) is a presentation architecture and family of associated printer software and hardware that provides for document and information presentation independent of specific applications and devices.
Imaging System	Imaging System - An Imaging System can be defined as a computerized information system that manages visual information and relates it to textual documentation. (Such a system could also be described as "multi-media database," as it usually contains two or more different kinds of media.) Imaging systems can be approached either in terms of the processes through which they are constructed, their technical configuration, or in terms of the functional set of requirements they fulfill. The various stages in constructing an imaging system include image capture, storage, description, retrieval, distribution, and display. Each offers an appropriate way to cluster the various technologies and standards that apply at each stage in the process
Indexing	Indexing - An essential part of the capture process, creates metadata from documents (customer ID number, for example) so the document can be found. Indexing can be based on keywords or full-text
Ingestion	The process of bringing new documents and their respective metadata into the system, whether by scanning of paper, electronic document transfer, or by database integration.
JPEG File format	Joint Photographic Experts Group compresses an image format
LDAP	The Lightweight Directory Access Protocol is an application protocol for accessing and maintaining distributed directory information services over an Internet Protocol (IP) network. A common usage of LDAP is to provide a "single sign-on" where one password for a user is shared between many services, such as applying a company login code to web pages
Life Cycle of a Record	Life Cycle of a Record – The process of managing information from the creation or receipt of a record until its final disposition.
MDI	A multiple document interface (MDI) is a graphical user interface in which multiple windows reside under a single parent window. Such systems often allow child windows to embed other windows inside them as well, creating complex nested hierarchies. This contrasts with single document interfaces (SDI) where all windows are independent of each other
Metadata	Metadata – A characterization or description documenting the identification, management, nature, use, or location of information resources (data). Metadata is commonly defined as "data about data." Metadata is frequently used to locate or manage information resources by abstracting or classifying those resources or by capturing information not inherent in the resource
Mobile Applications	Mobile application development is the process by which application software is developed for small low-power handheld devices such as personal digital assistants, enterprise digital assistants or mobile phones. These applications are either pre-installed on phones during manufacture, or downloaded by customers from various mobile software distribution platforms.
NAS Storage	Network-attached storage (NAS) is file-level computer data storage connected to a computer network providing data access to a heterogeneous group of clients. NAS not only operates as a file server, but is specialized for this task either by its hardware, software, or configuration of those elements.
Notification	An electronic notice to a subscriber when a defined event occurs. Notifications can be sent by e-mail or delivered to a subscriber's repository inbox.
OAKS	Ohio Administrative Knowledge System
OAKS Employee Data	Contains the basic personal information on an employee, such as name, address, telephone, birthday, etc. It's the first file created for all new employees.
OAKS Job Data	Critical data on an employee containing job information, job status, pay records, payroll status, benefits. A Personnel Action or batch system procedure is needed to make a change on the Job Data. For every Job Data change there is a new EHOC record created.
Object	Container that allows document content to be stored separately from its metadata.
Object Linking and Embedding (OLE)	Object Linking and Embedding (OLE) is a technology developed by Microsoft that allows embedding and linking to documents and other objects
Optical Storage	Storage of data on an optically readable medium
PCL (by HP)	Printer Command Language - Unlike Postscript, PCL was never completely designed but grew out of the need to extend the capabilities offered by a line printer. PCL has some distinct advantages over Postscript, it is easy to understand and it is easy to write. This means that many application programs that want to bypass a printer driver use PCL to create everything from reports to graphics on the printer.
PDF	PDF (Portable Document Format) is famous for delivering a consistent view of a document on any platform. PDFs made from scanned documents may use Group 4 compression (B/W) or a JPEG compression (color) scheme to hold the image. As an option, these PDFs can also include a version of the document's text, so the PDF can be content indexed and searched. A useful PDF option is web optimization, which involves placing all of information necessary to display a page in a contiguous area, thereby eliminating the need to read or download the entire file to do that
Permission	The permission and ability to perform an operation or set of operations. Basic privileges define the operations that a user can perform on objects in the repository. Extended privileges define the security-related operations the user can perform.
Personnel Action (PA)	Is a workflow approval process in ePAR that will change an employee's pay, job status, or benefits. Documents include PA Form plus relevant supporting documents.
Postscript formats	A trademark used for an object-oriented computer language for describing the appearance and layout of documents, used to print high-resolution text and graphics.
Privilege	The permission and ability to perform an operation or set of operations. Basic privileges define the operations that a user can perform on objects in the repository. Extended privileges define the security-related operations the user can perform.

Glossary	
Word	Definition
Properties	Data about the data. Attributes or metadata are synonymous terms. Information that describes the document or content.
Public Records	Public Records (retention and disposition) - Public record means a document, book, paper, file, sound recording, machine readable electronic record, or other material,....regardless of physical form or characteristics, made, received, filed, or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use..."
Public Records (Access)	Public Records (Access) – Public record' includes any writing containing information relating to the conduct of the public's business, including but not limited to court records, mortgages, and deed records, prepared, owned, used or retained by a public body regardless of physical form or characteristics
Public Request for Records	All public employee records are available for to the public. DAS HR Records fulfills this request. Policies govern on types of documents and information that can be made public
Purging	The process of deleting unwanted or obsolete information.
QA	Quality Assurance
RAID storage	RAID (redundant array of independent disks, originally redundant array of inexpensive disks [1] [2]) is a storage technology that combines multiple disk drive components into a logical unit for the purposes of data redundancy and performance improvement. Data is distributed across the drives in one of several ways, referred to as RAID levels, depending on the specific level of redundancy and performance required.
Record	Record - A written or printed work of a legal or official nature that may be used as evidence or proof; a document. A record is also data or information that has been fixed on some medium; that has content, context, and structure; and that is used as an extension of human memory or to demonstrate accountability. In addition, information in a fixed form that is created or received in the course of individual or institutional activity and set aside (preserved) as evidence of that activity for future reference is also a record.
Records Information Management (RIM)	Records management (RM), also known as Records information management or RIM, is the professional practice or discipline of controlling and governing what are considered to be the most important records of an organization throughout their life cycles, which includes from the time such records are conceived through to their eventual disposal. This work includes identifying, classifying, prioritizing, storing, securing, archiving, preserving, retrieving, tracking and destroying of records.
Records Management	Records Management - The planning, controlling, directing, organizing, training, promoting, and other managerial activities involving the life cycle of information, including creation, maintenance (use, storage, retrieval), and disposal, regardless of physical form. Records management procedures are used to achieve adequate and proper documentation of state policies and transactions and effective and economical management of Agency and organizational operations.
Rendition	A document providing the same content as another document but displayed in an alternate file format. A rendition process transforms one document to different file format, for example from MS Word to PDF.
Repository	The part of a document management system; comprising specific functionality to control the check-in/check-out of material, version control, and look-up against defined properties
Retention period	Retention Period - The length of time that a record must be kept before it can be destroyed and for state agencies the maximum length of time a record can be kept. Records not authorized for destruction are designated for permanent retention
RTF Template	Rich Text Format Template
SAD	System Architecture Design
SAN Storage	A storage area network (SAN) is a dedicated network that provides access to consolidated, block level data storage. SANs are primarily used to make storage devices, such as disk arrays, tape libraries, and optical jukeboxes, accessible to servers so that the devices appear like locally attached devices to the operating system.
SLIM Records	Stored in MS Access database. They.re EHOC records converted to a pdf document. To save money on storage the records were migrated from HR2K in 1999. All Inactive employees < 1989 were migrated
SOCC	State of Ohio Computer Center
Soundex	Soundex is a phonetic algorithm for indexing names by sound, as pronounced in English
SSL	Secure Sockets Layer (SSL), are cryptographic protocols that are designed to provide communication security over the Internet
Template	A document or file that has a preset format. It may include instructions or boilerplate text for inclusion.
TIFF	TIFF (Tag Image File Format) was created to be a standard output format from imaging capture systems
User	A user is a person that has permission to perform a selected action.
Version - DMS	Versioning is a process by which documents are checked in or out of the document management system, allowing users to retrieve previous versions and to continue work from a selected point. Versioning is useful for documents that change over time and require updating, but it may be necessary to go back to or reference a previous copy.
Version - Major	A number that will help keep track of versions of a document. A major version of the document has a version number that is a whole number, i.e., 1.0, 2.0 etc.
Version - Minor	A number that will help keep track of versions of a document. A minor version of the document has a version number that is not a whole number, i.e., 1.1, 2.21, etc.
Web Services Interoperability (WS-I) standards	Industry consortium chartered to promote interoperability amongst the stack of web services specifications
WSRP	Web Services for Remote Portlets Specification. Version 1. WSRP provides a standard that enables all content and application providers to provide their services in a manner where they can easily be discovered and plugged into all compliant portals without programming effort on the portal's side).
XML	Extensible markup language

## Exhibit 2: HRD FileNET – Technical Details

### 1.0 FileNET Technical Environment

TYPE	Description	Key Applications	APP Type and Authentication	Client Access	Dept. Utilization	Support and Maintenance
Server	This server has Windows Server 2003 Enterprise Edition (64 Bit) with SP2 R2 VMWARE Image as operating system with total disk space of 160 GB for server and one TB for Images. Out of the allotted space currently 457 GB for Images has been used. The server has 9,104,423 documents that range from one to ten pages per document. The server is equipped with four CPUs and six GB RAM.	Key software applications installed on the server <ul style="list-style-type: none"> <li>• IBM FileNET P8 Content Service 4.5.1 and Process Service 4.5.1.0</li> <li>• IBM WebSphere Application server 6.1 with Java 2 Runtime Environment is installed on the server, which is the Content and Process Engine server.</li> <li>• MSSQL 2005 (9.0.5000) is installed on the server, which is the relational model database server developed by Microsoft.</li> <li>• IBM DB2 is installed on the server, which is the relational model database server developed by IBM.</li> </ul>	IBM FileNET P8 Content and Process services are accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Records room access this server for performing their duties. Total number of users is 9.	OIT has 2 people supporting and maintaining this server.
Server	This server has Windows Server 2003 Enterprise Edition (64 Bit) with SP2 R2 VMWARE Image as operating system with total disk space of 40 GB. Out of the allotted space currently 32 GB has been used. The server is equipped with two CPUs and four GB RAM.	Key software applications installed on the server <ul style="list-style-type: none"> <li>• IBM FileNET Application Server (64 Bit) with IBM Web Sphere/Java 2 Runtime Environment is installed for interfacing with content engine.</li> </ul>	IBM FileNET is accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network.	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Records room access this server for performing their duties. Total number of users is 9.	OIT has two people supporting and maintaining this server
Server	This server has Windows Server 2003 Enterprise Edition (32Bit) with SP2 R2 VMWARE image as operating system with total disk space of 40 GB. Out of the allotted space currently 32 GB has been used. The server is equipped with two CPUs and four GB RAM.	Key software applications installed on the server <ul style="list-style-type: none"> <li>• IBM FileNET Application Server/Widget Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with content and process engine.</li> </ul>	IBM FileNET is accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and six users are Examiners. The server is currently not in use but is available when necessary.	OIT has two people supporting and maintaining this server.
Server	This server has Windows Server 2003 Enterprise Edition (32Bit) with SP2 R2 VMWARE image as operating system with total disk space of 40 GB. Out of the allotted space currently 32 GB has been used. The server is equipped with two CPUs and four GB RAM.	Key software applications installed on the server <ul style="list-style-type: none"> <li>• IBM FileNET Application Server/Widget Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with content and process engine.</li> </ul>	IBM FileNET is accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network.	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and six users are Examiners. The server is currently not in use but is available when necessary	OIT has two people supporting and maintaining this server.
Server	This server has Windows Server 2003 Enterprise Edition (32Bit) with SP2 R2 VMWARE image as operating system with total disk space of 40 GB. Out of the allotted space currently 32 GB has been used. The server is equipped with two CPUs and four GB RAM	Key software applications installed on the server <ul style="list-style-type: none"> <li>• IBM FileNET Application Server/Mashup Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with content and process engine.</li> </ul>	IBM FileNET is accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network.	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and six users are Examiners. The server is currently not in use but is available when necessary.	OIT has two people supporting and maintaining this server.  Up to date (8/22/13 CA)

TYPE	Description	Key Applications	APP Type and Authentication	Client Access	Dept. Utilization	Support and Maintenance
Server	This server has Windows Server 2003 Enterprise Edition (32Bit) with SP2 R2 VMWARE image as operating system with total disk space of 137 GB. Out of the allotted space currently 90 GB has been used. The server is equipped with two CPUs and four GB RAM	Key software applications installed on the server <ul style="list-style-type: none"> <li>FileNET Image Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with legacy FileNET Image Services 3.6.</li> <li>MSSQL 2005 is installed on the server, which is the relational model database server developed by Microsoft.</li> </ul>	FileNET Image services are accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and six users are Examiners.	OIT has 2 people supporting and maintaining this server.
Server	This server has Windows Server 2003 Standard Edition (32Bit) with SP2 R2 as operating system with total disk space of 67 GB. Out of the allotted space currently 18 GB has been used. The server is equipped with two CPUs and four GB RAM	Key software applications installed on the server <ul style="list-style-type: none"> <li>FileNET Workflow Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with FileNET workflow Services 3.6.</li> <li>MSSQL 2005 is installed on the server, which is the relational model database server developed by Microsoft.</li> </ul>	FileNET Workflow services are accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network.	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and 6 users are Examiners. The server is currently not in use but is available when necessary. OIT has two people supporting and maintaining this server	
Server	This server has Windows Server 2003 Standard Edition (32Bit) with SP2 R2 VMWARE image as operating system with total disk space of 30 GB. Out of the allotted space currently 17 GB has been used. The server is equipped with two CPUs and four GB RAM	Key software applications installed on the server <ul style="list-style-type: none"> <li>FileNET Web Server with IBM Web Sphere Application Server (64 Bit) and Java 2 Runtime Environment are installed for interfacing with FileNET Web Services.</li> <li>Internet Information Server (IIS) is installed on the server</li> </ul>	FileNET Web services are accessed by Web browsers Microsoft Internet Explorer V8 and Mozilla Firefox V3. Users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network.	Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits access this server for performing their duties. Total number of users is nine in which three users are Indexers and six users are Examiners. The server is currently not in use but is available when necessary.	OIT has two people supporting and maintaining this server
Work Station	This workstation has Windows XP (32Bit) VMWARE Image as operating system with total disk space of 40 GB. Out of the allotted space currently ten GB has been used. The server is equipped with one CPU and one GB RAM. This workstation is used as a web tools to control other servers. This system is used rarely.	The applications used here are web based applications which are accessed by Web browsers and users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network		Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits and HR Records Room access this workstation for performing their duties. There are up to five users, pyramid and IS staff.	OIT has two people supporting and maintaining this server  Up to date (8/22/13 CA)
Work Station	This workstation has Windows XP (32Bit) VMWARE Image as operating system with total disk space of 40 GB. Out of the allotted space currently ten GB has been used. The server is equipped with one CPU and one GB RAM. This workstation is used to migrate the images and data from legacy servers to new production servers. This system is used rarely.	The applications used here are web based applications and Thick client tools, which are custom developed applications and users are authenticated through LDAP an application protocol for reading and editing Active Directories over the network		Users are now running Windows 7 (64 Bit) SP1. CPU varies from Intel Core2 @ 2.13GHz and 4GB RAM to Intel Core i5 3.1GHz and 4GB RAM. (8/22/13 CA)	HR Benefits and HR Records Room access this workstation for performing their duties. There are up to five users, pyramid and IS staff.	OIT has two people supporting and maintaining this server
Database	This database is used by FileNET services. The database is created on MSSQL 2005 on production server DASSOCCFNPCEPE1	As of August 2013 there are 2.7 Million documents with 8.6 million pages.				
Database	These databases are used by FileNET services.	This database is used to store index type data. These				

TYPE	Description	Key Applications	APP Type and Authentication	Client Access	Dept. Utilization	Support and Maintenance
	These databases are created on MSSQL 2005 on production server DASSOCCFNPEPE1	databases have ~ 80,000/-735 records. These are used by indexing application to auto fill details after entering SSN				
Database	This database is used by FileNET services. The database is created on MSSQL 2005 on development server DASSOCCFNDCEPE1	As of August 2013 there are 2.7 Million documents with 8.6 million pages.				
Database	These databases are used by FileNET services. These databases are created on MSSQL 2005 on production server DASSOCCFNDCEPE1	These databases are used to store index type data. These databases have ~ 80,000/-735 records. These are used by indexing application to auto fill details after entering SSN as of June 2011				
Database	This database is used by FileNET image Services 4.1. This database is created on MSSQL 2005 on production legacy server DASHRDFNIMAGE.	This database is used to store employee data. This database has ~ 2754206 records. These are used by HR Benefits department and HR Records room no longer uses this database. As of June 2011				
Database	This database is used by FileNET Content Services 5.3. This database is created on MSSQL 2005 on production legacy server DASHRDFNDEF	This database is used to store workflow information for FileNET. This database has ~235322 records. These are used by HR Benefits department as of June 2011				
Directory Services	This domain shares Windows Active Directory 2003 central directory service	This domain has 1142 users and is currently used for FileNET. It is used by DAS except for OIT file sharing.				
Directory Services	This domain shares Windows Active Directory 2003 central directory service	This domain has 20000+ users by OIT for file sharing and DAS OIT for email				

## Exhibit 3: State Personnel Records Policy

The State Personnel Records group is responsible for archiving and maintaining employee files for State agencies.

General Contact Information  
Human Capital Management, Records  
Ohio Department of Administrative Services  
30 E. Broad St., 28th Floor  
Columbus, OH 43215-0405

### DAS Records Requirements:

The Office of HCM and Agency HR Support's Employee Records Unit is responsible for archiving and maintaining employee files for State. The following information will assist in clarifying which documents are required to be sent to DAS Records. Generally, the office routinely receives most of the required documents as a matter of procedures that need to be followed to enact personnel actions. Documents that are required to be filed with DAS are as follows:

- Personnel Action (P/A's) forms and their attachments
- Removal Documents
- Theft-in-Office Documents (The only criminal records to be sent)
- New-Hire documents (employee applications, Supplemental Employment Agreements, Position Descriptions, teaching certificate copies, certificates relevant to the job, and other correspondences relative to the position)
- Updated Applications
- State Personnel Board of Review Orders and correspondences
- Death Certificates, attached to the appropriate P/A.

Retention Period: Items listed as part of the official employee personnel file must be sent to DAS records upon approval where they will be maintained.

The following must **not** be sent to DAS Records in accordance with Section 149.43 of the Ohio Revised Code or collective bargaining arbitrations:

- Equal Employment Opportunity (EEO) Information form
- Letters of recommendation
- Medical records (physician statements, disability paperwork)
- Criminal records, except for "Theft-in-Office"
- Disciplinary records, except for Removals

Agencies are instructed to adopt records retention schedules for agency copies of personnel records, including copies of documents that are submitted to DAS and items that are not part of the employee personnel file maintained by DAS.

### Please note the following points:

- Documents that are not legible or not of reproducible quality will be returned to the originating human resources office.
- Please do not submit performance evaluations to this unit as they will be returned.
- If your agency time-stamps documents, please time stamp on the front of the document so it can be imaged in our system. We do not image the back of the document if all it contains is the time-stamp.

- It is recommend that you retain all confidential and medical records separate from copies of archived personnel files that you are keeping.
- Records not listed above as being part of the archived personnel file will be returned to the originating human resources office.

## Exhibit 4: State of Ohio Administrative Policy on Personnel Actions

### 1.0 Purpose

To set forth responsibilities of decentralized agencies centralized agencies and DAS in the personnel action process.

A definition of the terms found in this policy are located in at the end of this document. The first occurrence of a defined term is in ***bold italics***.

### 2.0 Policy

Beginning January 2013, all agencies, ***centralized*** and ***decentralized***, will be transitioning into entering personnel actions (PAs) into the Electronic Personnel Action Request (EPAR) system. The system will allow the Department of Administrative Services (DAS) to electronically approve PAs for centralized agencies and for decentralized agencies to electronically approve their own PAs. Once approved, the information in the PA will be directly transferred into the Ohio Administrative Knowledge System (OAKS), thereby eliminating the need for multiple points of data entry.

With this change, it is even more important for agencies to ensure that they are meeting all of their responsibilities in the PA process. Agencies will be required to submit a certification document to DAS every year which outlines the agency's understanding of their role in the PA process and their obligation to uphold the Civil Service Laws and Rules for the State of Ohio.

**2.1 Agency Responsibilities:** All agencies, regardless of centralized/decentralized status, have responsibilities in the PA process. This list of agency responsibilities is not all-inclusive. For questions regarding agency responsibilities, contact the assigned human resources analyst for your agency.

**2.1.1 PA Preparation:** PAs must be prepared in accordance with the PA manual. For both centralized and decentralized agencies, PAs must be initiated in EPAR in accordance with the applicable timeframes required by current policies and procedures. Agencies must ensure that any applicable personnel action falls within the agency's personnel ceilings. Agencies are also reminded that information entered into the EPAR system (including comments) may be considered to be public record. Any concerns regarding what can and should be entered into the system should be resolved with agency legal counsel.

**2.1.2 Minimum qualifications:** Proper verification of an applicant's minimum qualifications should be done by comparing the applicant's training and experience to the requirement outlined on the classification specification for the position to which the applicant is being appointed.

**2.1.3 Background checks:** Ensure that background check forms for unclassified new appointments, transfers between agencies, changes from the classified service to the unclassified service, or any other appointment that requires a background check has been completed. The forms for unclassified background checks are available at <http://das.ohio.gov/Divisions/HumanResources/HRDOCBPolicy.aspx>

**2.1.4 Drug Tests:** Ensure that drug tests are completed for new unclassified appointments and positions designated as safety sensitive. Any questions regarding this matter should be directed to the DAS Human Resources Division, Office of Drug-Free Workplace.

**2.1.5 Certification:** Certain PAs are subject to recall and reemployment lists. These include new hires, promotions, demotions, laterals, transfers within and between agencies, civil service status changes, appointment changes, displacements, position changes if the headquarter county changes, and headquarter county changes. Agencies must verify whether a recall and reemployment list exists and attach the required verification to the PA. Agencies must also follow applicable collective bargaining agreements, Ohio Revised Code and Ohio Administrative Code sections.

**2.1.6 Advance step hires:** Agencies must follow DAS Policy HR-03 and the memorandum from the Director of Administrative Services dated 12/9/11 regarding the policy and procedure for advance step

hires. All advanced step appointments must be approved by both the Director of DAS and the Office of the Governor, including appointments by decentralized agencies.

2.1.7 Verification of Licenses: Agencies must ensure that any required licenses for a position are active. Proof of verification must accompany the PA. For example, agencies must ensure that Nurses licenses are active which can be accomplished by going to the Nursing Board website [www.nursing.ohio.gov](http://www.nursing.ohio.gov)

2.1.8 Attachments: For both centralized and decentralized agencies, PAs must have the appropriate documentation attached in EPAR. However, when initiating PAs that relate to medical conditions (e.g. workers' compensation or disability leave benefits) the relevant medical documentation **is not** to be attached in EPAR.

2.1.9 Approval: Within EPAR, PAs will be approved electronically. For centralized agencies a PA can be approved in EPAR by the agency approver but a PA will not be considered approved until it is approved in EPAR by DAS HRD HCM/HR Support. If necessary, a PA will be routed through EPAR to the Office of the Governor as required by DAS policies. For decentralized agencies, after a PA is initiated in EPAR a decentralized agency must electronically approve the PA as the Appointing Authority and then finalize the approval by approving as a decentralized agency approver. For decentralized agencies, EPAR will automatically route required PAs to the Office of the Governor for approval.

## 2.2 DAS Human Resources Division Responsibilities:

2.2.1 Training: Training will be available from HCM/HR Support in every aspect of PA processing. All new personnel who will be involved in the PA process should participate in PA training within 30 days following their hire date. Training will be available in the following areas:

- Technical training for entering data into the EPAR system.
- How to properly prepare a PA, including information such as what attachments are necessary, notes that should be included, etc.
- Familiarizing agency HR staff with the decentralized process and how roles change within the agency and at DAS.

2.2.2 Consultation: Agency specific training can be developed to address an agency's specific needs. This training can be provided, upon request of the agency, on-site by the DAS HRD HCM/HR Support analysts. In addition, the analysts have in-depth technical knowledge regarding the processing of PAs and will continue to be available to provide consultation.

2.2.3 Calculating, approving and processing prior service time: In order to maintain consistency throughout state agencies in regard to granting prior service time, this process will be handled by DAS HRD HCM/HR Support for both centralized and decentralized agencies. The agency is responsible for entering the PA into EPAR and attaching the supporting documentation from the previous employer.

2.2.4 Assistance with layoffs: DAS HRD HCM/HR Support staff will continue to assist agencies with processing layoffs.

2.2.5 Compliance Review: DAS HRD HCM/HR Support will continue to conduct periodic compliance reviews of decentralized agency PAs pursuant to the Decentralization Procedures Manual.

## 2.3 Special considerations for decentralized agencies: Decentralized agencies continue to have additional responsibilities in the PA process. STATE OF OHIO ADMINISTRATIVE POLICY PERSONNEL ACTIONS

2.3.1 Pursuant to the Decentralization Procedures Manual, agencies must continue to maintain a written policy of internal procedures for the processing and approving of PAs. Policies should include, at a minimum, the following information: a general summary of the process, in narrative format or a flow chart, from initiation of the PA to final approval; document tracking; procedure for error correction; information

regarding maintenance of records; identification of who is accountable for ensuring that the policy is properly followed; a statement of intent indicating that the agency will continue to be in compliance with the Ohio Revised Code, Ohio Administrative Code, applicable collective bargaining agreements, directives issued by the Governor's Office, and DAS policies and procedures regarding PA processing and approval. Agencies must keep the internal policy updated and make it accessible to those with PA responsibilities.

2.3.2 A document shall be developed and maintained at the agency stating the name of the appointing authority and listing all employees who will have approval authority for PAs.

2.3.3 When a change in agency administration occurs, the agency must initiate a meeting with DAS HRD HCM/HR Support. DAS will provide the agency with a review of the process. The agency must sign a new decentralization certification document.

2.3.4 DAS Analysts are not required to approve every PA for decentralized agencies. Therefore, the DAS Analysts will be available as technical advisors and may conduct audits and compliance reviews. The purpose of a compliance review is to verify that a decentralized agency is in compliance with the legal, policy and procedural requirements associated with actions documented by PAs. The frequency of these reviews will depend upon the volume of PAs processed by an agency. DAS HRD HCM/HR Support will provide recommendations to the agency's HR Administrator when issues are identified.

2.3.5 DAS will closely monitor selected PAs during the agency's initial six months of PA decentralization. This will allow the DAS HRD HCM/HR Support staff to immediately alert the agency to problem areas that may cause difficulties in the future. After the initial six months, the agency's PA decentralization process will be periodically monitored by randomly selecting PAs for review and running reports.

2.3.6 If either DAS or agency-established policies and procedures for PA processing are found to be consistently ignored or if problems found by DAS compliance reviews are not resolved, the agency director will be notified by DAS. If the problems are still not resolved, DAS reserves the right to revoke decentralized agency certification.

**2.4 Legal Responsibility:** All agencies will continue to be responsible for compliance with collective bargaining agreements, the Ohio Revised Code and the Ohio Administrative Code. As agencies should be aware, Revised Code Section 124.62 prohibits an appointing authority from knowingly or willfully making an appointment contrary to rule or law. Approving personnel actions is a task not to be taken lightly. It is imperative that the agency's director's office, legal office, fiscal office, and human resources office work closely to follow all relevant laws and rules and maintain open lines of communication in this process. Legally, DAS is charged with policy authority for State of Ohio personnel practices. DAS delegates significant authority and responsibility to both decentralized and centralized agencies, thereby granting agencies authority to act on behalf of the director, while DAS retains overall authority and responsibility for ensuring that the Civil Service Laws are applied consistently throughout all state agencies.

### **3.0 Authority**

ORC 124.09, 124.20; OAC 123:1-45-01

### **4.0 Revision History**

<b>Date</b>	<b>Description of Change</b>
01/28/2013	Original policy
01/28/2014	Scheduled policy review

### **5.0 Inquiries**

Direct inquiries about this policy to:  
Office of HCM and Agency Support

Human Resources Division  
Ohio Department of Administrative Services  
30 East Broad Street, 28th Floor  
Columbus, Ohio 43215-3414

State of Ohio Administrative Policies may be found online at:  
[www.das.ohio.gov/forStateAgencies/Policies.aspx](http://www.das.ohio.gov/forStateAgencies/Policies.aspx)

**Definitions**

- a. Decentralized agency. An agency which has been granted by the Director of DAS under 124.04(M) the authority and responsibility of individual personnel decisions.
- b. Centralized agency. An agency for which the Director of DAS maintains the authority and responsibility of individual personnel decisions.

## **Exhibit 5: Employee Union Contract Policies**

### **1.1 Employee Union 1199 Contract Policies on Personnel Records**

#### **36.01 Access ARTICLE 36 - PERSONNEL FILES**

Each employee shall, upon written request to his/her appointing authority or designee, have the right to inspect the contents of his/her personnel file, at his/her work site or an alternate designated work site, during normal business hours, Monday through Friday (except holidays). This excludes material which may not be disclosed in accordance with Chapter 1347 of the Ohio Revised Code. However, the Agency will give notice to the employee who is the subject of any information it receives which is not directly disclosable to employees under Chapter 1347.

Access to the employee's personnel file shall also be granted to the employee's designated representative upon written authorization by the employee. Any person inspecting an employee's file shall sign indicating he/she has reviewed the file.

The employee's personnel file shall not be made available to any organization or person other than the Employer, or its agents, without the employee's express written authorization unless pursuant to court order, subpoena, or written request made pursuant to the Ohio Public Records Act.

#### **36.02 Review of Documents**

An employee who wishes to dispute the accuracy, relevance, timeliness, or completeness of materials contained in his/her personnel file shall have the right to submit a memorandum to the appointing authority or designee explaining the alleged inaccuracy. If the appointing authority or designee concurs with the employee's contentions, the appointing authority or designee may remove the document or attach the employee's memorandum to the document in the file and note thereon his/her concurrence with the contents of the memorandum. If the appointing authority or designee does not concur, he/she will attach the employee's memorandum to the document with a signed statement indicating that he/she does not concur.

#### **36.03 Removal of Documents**

Records of disciplinary actions and all documents related thereto shall be removed from the personnel file two (2) years after the effective date of the discipline providing there are no intervening disciplinary actions during the two (2) year period for same or similar offenses, except that verbal and written reprimands and all documents related thereto shall be removed after nine (9) months if there are no intervening disciplinary actions during the nine (9) month period for same or similar offenses. The retention period for records pertaining to suspensions for periods in excess of five (5) days may be extended by a period equal to employee leaves of fourteen (14) consecutive days or longer, except for approved periods of vacation leave.

In any case in which a written reprimand, suspension, or dismissal is disaffirmed or otherwise rendered invalid, all documents relating thereto will be removed from all Agency personnel files.

## **1.2 Employee Union Fraternal Order of Police Policy on Personnel Records**

### **ARTICLE 17 PERSONNEL FILES**

#### **17.01 Inspection of Personnel Files**

Any bargaining unit member shall have the right to inspect his/her personnel file, except material which may not be disclosed in accordance with Chapter 1347 of the Ohio Revised Code. upon request during normal business hours, Monday through Friday (except holidays), The member has the right to provide written authorization for his/her bargaining agent representative to act for the member in requesting access to the personnel file and in reviewing said file. Anyone inspecting a member's file shall sign indicating he/she has reviewed the file.

The member's personnel file shall not be made available to any person or organization other than the Employer without the employee's express written authorization unless pursuant to court order. subpoena or written request made pursuant to the Ohio Public Records Act Records of residential and/or familial information for members meeting the ORC 149.43 and ORC 109.71 definitions of "peace officer" will be excluded from any information request made pursuant to the Ohio Public Records Act and will not be released. Peace officer residential and familial information will encompass the types of information listed in ORC 149.43(A) (7) (a) through (f).

#### **17.02 Amount of Personnel Files and Documents**

There shall be only one (1) official personnel file for each employee who shall be maintained in the (Central) personnel office of the Department/Facility. Additional personnel files may be established and maintained provided that no material relating to conduct, discipline or job performance shall be maintained in any file that is not also maintained in the official file. A copy of all documents relating to conduct, discipline of work performance shall be given to the employee at the time of its placement.

#### **17.03 Inaccuracies**

If a bargaining unit member has reason to believe that there are inaccuracies in documents contained in the personnel file. The member may write a memorandum to the Director/Superintendent explaining the alleged inaccuracy. If the Director / Superintendent or designee concurs with the member's contentions, the Director/Superintendent or designee may either remove the document or attach the member's memorandum to the document III the file and note there on the Director/Superintendent or designee's concurrence with the contents of the memorandum. If the Superintendent or designee does not concur he/she will attach the member's memorandum to the document.

#### **17.04 Copies**

Any member, or a representative granted permission in writing by a member may obtain a copy of material contained in his/her personnel files except the material excluded in Section 17.01 of this Article without cost.

In any case in which a reprimand, suspension or dismissal is disaffirmed or otherwise rendered invalid. All documents relating thereto will be removed from all department files.

#### **17.05 Disciplinary Record Removal and Limited Access File**

Records of verbal and written reprimands will not be utilized by the Employer beyond a twelve (12) month period if no further disciplinary action occurs during the twelve (12) month period. Records of suspensions and demotions will not be utilized by the Employer beyond a twenty-four (24) month period if no further disciplinary action occurs during the twenty-four (24) month period.

The retention period shall be extended by a period equal to employee leaves of fourteen (14) consecutive days or longer, except for approved periods of vacation leave and compensatory time.

These records of disciplinary actions and all documents related thereto shall be removed from the employee's personnel file and maintained in a limited access file utilized only for administrative purposes such as response and defense to actions filed in any court or administrative agency by the employee or by a third party, but in any case shall not be utilized in relation to any decision regarding disciplines. Section 17.05 applies to all disciplinary records whenever placed in the employee's personnel file

Such limited access files shall be maintained in the respective agency records center or at the central records center of the Department of Administrative Services.

## **1.3 Employee Union OCSEA Policy on Personnel Records**

### **ARTICLE 23 - PERSONNEL RECORDS**

#### **23.01 - Personnel Files**

The Department of Administrative Services shall retain only such records it deems necessary for auditing purposes in order to support payroll and personnel actions. All other matters pertaining to an employee will be retained within the Agency for which the employee works. In the case of employees working for the Department of

Administrative Services, all other matters pertaining to an employee will be retained within Employee Services of the Department of Administrative Services.

Employee personnel files, disciplinary records, and grievance records located at institutions shall be maintained in a manner that does not provide access to inmates, residents and youths.

#### **23.02 - Review of Personnel Files**

Employees and/or their authorized Union representatives shall have the reasonable right to review the contents of their personnel files. Employees shall have access to all materials in their files except those prohibited by ORC Section 1347, 08 (C). Such review may be made during normal working hours. Employees who are not normally scheduled to work when the Personnel Office is open may request to review their files through their supervisor. The supervisor will make the file available in a reasonable amount of time. Reasonable requests to provide one copy of documents in the files shall be honored at no charge.

The employee's personnel file shall not be made available to any organization or person other than the Employer or its agents, without the employee's written authorization unless pursuant to court order, subpoena, or request made pursuant to the Ohio Public Records Act.

#### **23.03 - Employee Notification**

A copy of any material to be placed in an employee's personnel file that might lead to disciplinary action or negatively affect an employee's job security or advancement shall be provided to the employee. If material is placed in an employee's personnel file without following this procedure, the material will be removed from the file at his/her request. Such material cannot be used in any disciplinary proceeding. An employee can place documents relevant to his/her work performance in his/her personnel file.

## **1.4 Employee Union Ohio State Troopers Association Policy on Personnel Records**

### **ARTICLE 17 - PERSONNEL FILES**

#### **17.01 Inspection of Personnel Files**

Any bargaining unit member shall have the right to inspect their personnel file, except material which may not be disclosed in accordance with Chapter 1347 of the Ohio Revised Code, upon request during normal business hours, Monday through Friday (except holidays). The member has the right to provide written authorization for their bargaining agent representative to act for the member in requesting access to the personnel file and in reviewing said file. Anyone inspecting a member's file shall sign indicating he/she has reviewed the file. The member's personnel file shall not be made available to any person or organization other than the Employer without the employee's expressed written authorization unless pursuant to court order, subpoena or written request made pursuant to the Ohio Public Records Act.

#### **17.02 Number of Personnel Files and Documents**

There shall be only one official personnel file for each employee which shall be maintained in the (Central) personnel office of the Department of Public Safety. Additional personnel files may be established and maintained provided that no material relating to conduct, discipline or job performance shall be maintained in any file that is not also maintained in the official file. A copy of all documents relating to conduct, discipline or job performance shall be given to the employee at the time of its placement.

#### **17.03 Inaccuracies in Documents Contained in Personnel Files**

If a bargaining unit member has reason to believe that there are inaccuracies in documents contained in the personnel file, the member may write a memorandum to the Superintendent explaining the alleged inaccuracy. If the Superintendent or designee concurs with the member's contentions; the Superintendent or designee may either remove the document or attach the member's memorandum to the document in the file and note thereon the Superintendent or designee's concurrence with the contents of the memorandum. If the Superintendent or designee does not concur, he/she will attach the member's memorandum to the document.

#### **17.04 Copies of Material in Personnel Files**

Any member, or a representative granted permission in writing by a member, may obtain a copy of material contained in his/her personnel files except the material excluded in Section 17.01 of this Article without cost.

#### **17.05 Disciplinary Record Removal and Limited Access File**

Records of verbal and written reprimands will not be utilized by the Employer beyond a twelve (12) month period if no further disciplinary action occurs during the twelve (12) month period. Records of suspensions and demotions will not be utilized by the Employer beyond a twenty-four (24) month period if no further disciplinary action occurs during the twenty-four (24) month period. The retention period shall be extended by a period equal to employee leaves of fourteen (14) consecutive days or longer, except for approved periods of vacation leave. Employees who are terminated and subsequently returned to work without any discipline through arbitration, shall have the termination entry on their Employee

#### **History on Computer (EHOC) stricken**

These records of disciplinary actions and all documents related thereto shall be removed from the employee's personnel file and maintained in a limited access file utilized only for administrative purposes such as response and defense to actions filed in any court or administrative agency by the employee or

by a third party, but in any case shall not be utilized in relation to any decision regarding disciplines. Section 17.05 applies to all disciplinary records whenever placed in the employee's personnel file.

Such limited access files shall be maintained in the respective agency records center or at the central records center of the Department of Administrative Services.

## **1.5 Employee Union SCOPE (OEA) Policy on Personnel Records**

### **ARTICLE 12 - PERSONNEL FILES**

#### **12.01 – Access**

Each employee shall have the right to inspect the content of his/her personnel file upon request except material which may not be disclosed in accordance with Chapter 1347 of the Ohio Revised Code during normal business hours, Monday through Friday, excluding holidays. Access to the employee's personnel file shall also be granted to the employee's designated representative upon written authorization by the employee. Any person inspecting an employee's file shall sign indicating he/she has reviewed the file. The employee's personnel file shall not be made available to any person or organization other than the Employer without the employee's expresses written authorization unless pursuant to court order, subpoena or written request made pursuant to the Ohio Public Records Act.

#### **12.02 - Official File**

There shall be only one (1) official personnel file for each employee. The official file shall be maintained at a location designated by the Employing Agency, who shall advise the Association of such locations within sixty (60) days of the opening of any new facility and within ten (10) days of any location change. Additional personnel files may be established and maintained provided that no material relative to conduct, discipline or job performance shall be maintained in any file that is not also maintained in the official file. A copy of all documents relating to conduct, discipline or job performance shall be given to the employee at the time of its placement in the official file.

#### **12.03 - Review of Documents**

An employee who wishes to dispute the accuracy, relevance, timeliness or completeness of materials contained in his/her personnel file shall have the right to submit a memorandum to the Appointing Authority requesting that the documents in question be reviewed. The Appointing Authority shall within ninety (90) days of receipt of the request inform the employee of the action to be taken. The Appointing Authority shall delete any information which cannot be verified or is found to be inaccurate. The employee shall have a right to submit a written statement noting his/her objections to the material in question to be placed in the file within thirty (30) days after notification of the employing agency's action.

#### **12.04 - Department of Administrative Services' Files**

The Department of Administrative Services shall continue to retain such documents as necessary to support payroll and personnel actions.

# EXHIBIT INFORMATION TRAILER

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