**SECURE**

**POLICY & PROCEDURE**

**SECURE Document Audit Procedures**

**Purpose:**

To establish a Policy and Procedure when counties have concerns regarding the originality authenticity and or legitimacy of a document submitted through the Statewide Electronic Courier Universal Recording Environment (SECURE) portal, and to ensure compliance with all SECURE’s policies and California ERDA/ERDS regulations.

**Policy:**

SECURE Counties can request the original paper document from an Authorized Submitter or Agent within 24 hours when they have concerns about an electronic document’s authenticity, compliance to SECURE policies or compliance to California regulations.

**Procedures:**

* When a SECURE county has concerns about a document’s authenticity or suspects an electronic document may not be in compliance with California recording regulations; that county should request the original paper document from the submitting Agent or Authorized Submitter.
* The Requesting County should contact the Authorized Submitter and/or Agent via email and request the original paper document, be delivered within 24 hours or within the requested timeframe. SECURE Support should be copied on the initial email so they are aware of the start time of the request. (The requesting county can contact SECURE Support for a current list of Authorized Submitters and Agents contact phone numbers and emails addresses.)
* If the Authorized Submitter or Agent does not respond to the initial email in a reasonable timeframe (within 4 hours), the Requesting County should contact the Authorized Submitter or Agent via a phone call, and explain why they are requesting the document, specify the document in question, and when the document needs to be delivered. The requesting County should document the date, time, and person they spoke to and transmit this information to SECURE Support.
* If the Requesting County is having difficulty contacting the Authorized Submitter or Agent, the requesting county can contact the SECURE Support team for help with contacting the Authorized Submitter and/or Agent.
* If the requesting County does not receive a response within 24 hours, or they believe at any time the Authorized Submitter or Agent is not being responsive to their request for an original document, the Requesting County can request the SECURE Support team suspend the Authorized Submitter and/or Agent from submitting through SECURE, to their county until the document is received.
* If the Requesting County has any questions about a document’s electronic delivery information, they can request the SECURE Support team’s assistance in obtaining that information.
* If the document in question is re-submitted to the Requesting County by the Authorized Submitter and/or Agent either electronically or in paper form during the document audit process prior to a resolution (and the Agent has been notified of the audit), SECURE will initiate immediate disciplinary action against the Authorized Submitter and/or Agent starting with suspension from the county that received the re-submitted document. Suspension will be lifted after the document audit process has been completed.
* If the requesting County receives the document in question, and they are satisfied the document is in compliance with SECURE policies and California regulations, they should notify the Authorized Submitter and/or Agent. The Requesting County should also notify SECURE Support so the Authorized Submitter and/or Agent can be reinstated the next business day if they were suspended.
* If the Requesting County receives the document in question, and they determine the document is in violation of SECURE policies and/or California recording regulations, the Requesting County may request SECURE to suspend the Authorized Submitter and/or Agent from submitting through SECURE to their county for a specified period. If the Requesting County is requesting to suspend an Authorized Submitter or Agent from SECURE, they must send the details of the incident, the length of suspension, and the effective date of the suspension via email to SECURE Support at SECURESupport@rec.ocgov.com. A one day suspension from the county that is carrying out the document audit is recommended for the first offense. It is recommended that suspension be doubled for each subsequent offense.
* If the Requesting County believes the violation warrants a system wide suspension, they should notify SECURE Support and the details of the incident will be forwarded to the Owner Assistants for review and concurrence.
* If the Owners Assistants determine an incident warrants a system wide suspension, the incident will be forwarded to the SECURE Owners for action in accordance with SECURE Disciplinary Policy and Procedure dated October 24, 2016.