

PROCEDURE FOR THE CONTROL OF RECORDS

1. Purpose

The purpose of this procedure is to define what constitutes a “DSRA Record” and describe the process for the control of DSRA records. Records may require control for either internal purposes or in order to meet the requirements of organizations external to the DSRA such as the Internal Revenue Service [IRS].

2. Scope

The scope of this procedure covers the control of all DSRA records which may be: minutes of DSRA Board meetings, minutes of DSRA Committee meetings, completed internal DSRA forms or forms completed at the request of external organizations such as the IRS. The process for the control of records shall include: what constitutes a record to be maintained, who shall maintain the records, how the records shall be maintained and for how long the records shall be maintained.

DSRA documents such as: Bylaws, Policy Statements, Operating Procedures, and blank forms are considered to be both “Controlled Documents” and “Controlled Records” because they each contain a “Change History Log” which is a record. The control of documents is described in DSRA Operating Procedure, DSRAPROC 101, Document Control System Procedure.

3. Responsibilities

The responsibility for the control of records generally shall fall to the DSRA Member [by Title] that has been assigned the responsibility of generating or collecting the record but may also be designated in a DSRA Operating Procedure that calls for a particular record to be generated and maintained. The individual responsible for the maintenance of a DSRA record shall be required to keep records in a safe place free from any potential damage and available for access by other DSRA Members to be used in conducting DSRA business or by individuals responsible for conducting internal or external audits of such records. Persons responsible for maintaining records shall also be responsible for the disposal of records in accordance with applicable requirements.

4. Process Steps

- 4.1 A DSRA controlled record shall be defined as any completed form or record of a meeting generated in the normal running of the DSRA business. These records may be generated for either internal or external purposes.
- 4.2 Records and responsibilities for record keeping may also be defined in any DSRA Operating Procedure that creates a need for a specific record. If not otherwise defined, the responsibility for record keeping shall fall to the generator or collector of the record.
- 4.3 Records must be kept in a safe and dry environment in either an electronic or hard copy form or both. Electronic records must be backed up to assure they are not lost.

- 4.4 The disposal of records shall be the responsibility of the Secretary of the DSRA or their designee unless otherwise specified in a DSRA Operating Procedure. Typically, DSRA records shall be maintained for at least seven [7] years unless otherwise specified. For example, records which support data supplied to the IRS shall be maintained for a period of time and in accordance with the regulations of the IRS.
- 4.5 Records may be subject to audit at any time either internally or externally. It shall be the responsibility of each record keeper to assure that all records to be audited that are under their control are available at the request of an auditor. The DSRA Secretary or their designee shall be responsible for the coordination of all internal and external audits.
- 4.6 Records shall also be made available to other DSRA Members as required in the normal operation of the DSRA. However any records deemed as confidential such as certain membership records or financial data, shall be controlled and not shared internally or externally unless such disclosure complies with the confidentiality requirements for that document or is specifically approved by the DSRA Board of Directors. DSRA Operating Procedures specific to any DSRA record shall define the particular confidentiality requirements that may exist, if any, for that record.

5. Record Keeping Requirements

The Secretary of the DSRA or their designee shall maintain a log sheet of records that are disposed. This log sheet shall list the records that are disposed and the dates that the disposal occurs.

6. Forms

Record Disposal Log Sheet: DSRAFORM 102A

7. Glossary

DSRA Record: minutes of DSRA Board meetings, minutes of DSRA Committee meetings, completed internal DSRA forms, forms completed at the request of external organizations such as the IRS, or as defined in any specific DSRA Operating Procedure.

Confidential Record: any DSRA record that has limitations as to who has access to that record and how that record may be used. Confidentiality requirements for any record, that requires it, shall be defined in the DSRA Operating Procedure that creates the need and describes the use of that record. That procedure shall also define how the record shall be maintained as confidential and who is responsible for maintaining that confidentiality.

8. References

Operating Procedure Implementation: DSRAPROC 100

Document Control System Procedure: DSRAPROC 101

Record Disposal Log Sheet: DSRAFORM 102A

9. Change History Log

REV	APPROVED	DESCRIPTION OF CHANGE
000	3/4/2010	Initial App'l of DSRAPROC 102
000	3/4/2010	Initial App'l of DSRAFORM 102A