

PROCEDURE 3: RECORD CONTROL

PURPOSE

To establish a procedure for the control of records.

SCOPE

This procedure applies to all FSAB functions designated in the Policy Manual.

REFERENCES

The FSAB follows the Colorado Uniform Records Retention Act (C.R.S. 6-17-101) that specifies any record required to be created or kept by any state or local law or regulation may be destroyed after three years from the date of creation unless such law or regulation establishes a specified records retention period or a specific procedure to be followed prior to destruction. Reproductions are acceptable. Federal law may have additional retention periods.

DEFINITION OF RECORDS

The term “records” refers to data produced related to the management system. Records indicate results achieved or evidence of activities performed. Examples include reports, meeting minutes, accreditation applications, and personnel records. FSAB records are maintained and controlled to preserve their security, appropriate availability, and confidentiality. Also see C.R.S. 6-17-103.

RECORD CONTROL

1. Records are identified by title and date.
2. The Administrative Manager shall not destroy records without written notification from the President.
3. Board personnel records, such as application materials, are confidential.
4. The Administrative Manager shall release records to parties external to the FSAB with the approval of the EC.
5. The Administrative Manager shall release records to Directors/Affiliates with the approval of the President.
6. The secure area of the website that contains meeting minutes, expense reimbursement forms, and other selected records is solely for the use of the Directors, accessible only by username and password.

COMPLIANCE

Compliance shall be monitored annually through one or more of the following:

1. Internal Audit and/or Management Review

SECURITY

1. FSAB records are retained in the Administrative Office in a secure environment.
2. A secure area has been partitioned on the website to store records available only to authorized personnel.

RECORDS RETENTION

Archived records shall be retained for a period of ten years described in the chart below. The Executive Committee is authorized to make changes in the list of records to be archived.

RECORDS FOR ARCHIVAL AND RETENTION PERIODS

RECORD	SUBORDINATE RECORDS
<p>CAB RECORDS 10 years after accreditation or reaccreditation</p>	<p>Accreditation application, including any supplemental documentation Application payment Correspondence with applicant Application ARC Report Form ARC final recommendation summary Accreditation certificate, if issued Complaints against the CAB</p>
<p>FSAB MEETING MINUTES 5 years after approval of minutes</p>	<p>Annual meeting All committee meetings Telephone meetings</p>
<p>COMPLAINTS 3 years after closing file</p>	<p>Complaint – include supporting documents Complaint Review Committee – report and recommendations Board rulings/actions</p>
<p>LAWSUITS 3 years after conclusion of case, including any appeals</p>	<p>Complaint and all filings – all correspondence</p>
<p>DIRECTOR TRAINING 3 years after conclusion of training or submission of course certificates</p>	<p>Initial and ongoing training relevant to job performance Copies of course certificates</p>
<p>SITE SURVEILLANCE VISITS 10 years after accreditation or reaccreditation</p>	<p>Site Check List All Correspondence re: site visit Post-visit results notification letter to CAB</p>
<p>ANNUAL INTERNAL AUDIT REPORT 3 years after approval of audit and corrective action</p>	<p>Areas audited and results</p>
<p>PERSONNEL RECORDS 3 years after the Director or Affiliate leaves the Board</p>	<p>Documents signed annually by Directors, Affiliates, and Contractors Personnel folders</p>
<p>TAX RECORDS 7 years after filing</p>	<p>All state and federal tax records and filings</p>
<p>COMPLAINTS REGARDING THE FSAB 5 years after complaint is resolved</p>	<p>All CRC records for each complaint</p>