

Record Keeping Responsibilities

1 Directions

Read the role descriptions and tailor them as follows:

- Add or modify responsibilities to employ the terminology of your organization. For accountability, the language should be as precise as possible. For example, in the description of the Compliance Officer role, indicate to whom it reports in *your* organization chart.
- Combine or split roles depending on the volume of your record keeping. For example, a larger organization may require a team of security administrators, one of whom would act as the Security Team Lead.
- Combine or split roles if warranted by the complexity of your infrastructure. For example, the responsibilities for physical security (buildings, vaults, etc.) may need to be separate from those for electronic security (Internet access, computers, etc.).
- For outsourced roles, ensure that at least one internal role closely supervises the operations.

2 Role Summary

Role	Purpose
1. Compliance Officer	Set up record keeping and oversee its operation
2. Record Keeper	Create and use records
3. Security Administrator	Control access to the records
4. Storage Administrator	Manage the locations of the records

3 Role: Compliance Officer

The Compliance Officer must create the conditions for complete, accurate, efficient, and secure record keeping.

The role's responsibilities include:

- Identify regulations that apply to the organization.
- <...>

Performance incentives for the Compliance Officer can include:

- Compensation and recognition for meeting regulatory goals (i.e., absence of problems)
- <...>