

EAST TEXAS GULF COAST REGIONAL TRAUMA ADVISORY COUNCIL

RECORDS MANAGEMENT POLICY

To ensure that all programs operated by East Texas Gulf Coast Regional Trauma Advisory Council are properly managed and reported on, East Texas East Texas Gulf Coast Regional Trauma Advisory Council will establish and monitor a comprehensive records management policy.

A. To ensure that pertinent records are properly managed, the East Texas Gulf Coast Regional Trauma Advisory Council will implement a file maintenance and disposition plan for each project/funding source when that project becomes inactive/closes-out. When a project is closed a file maintenance and disposition plan form will be filled out and filed for the project. The form includes, but is not limited to:

- date the project began,
- date the project ended,
- amount of contract,
- name and signature,
- description of the files within the storage case, and
- disposition instructions.

Once the "File Maintenance and Disposition Plan" form has been completed, it will be filed and the storage box sent to East Texas Gulf Coast Regional Trauma Advisory Council's storage site.

B. Financial records, supporting documents, statistical records, and all other records pertinent to an award of funding from an external source shall be retained for a period of three years from the date of the submission of the final expenditure report. If any litigation, claim, or audit is started before the expiration of the three-year period, the records shall be retained until litigation, claims, or audit findings have been resolved and final action taken.

C. Records for real property and equipment acquired with federal funds must be retained for three years after final disposition of said property.

BUSINESS RECORD RETENTION SCHEDULE

ACCOUNTING AND FISCAL TERM CORPORATE TERM

Accounts Payable Records 4	Audit Reports P
Certificate of Incorporation P	Annual Reports P
Accounts Receivable Records 4	Audit Reports Internal 4
Charter P	Contracts (After Expiration) 4

Bank Statements and Reconciliation 4
Copyrights P
Canceled Checks 4
Correspondence (General) 4
Check Registers 4
Correspondence (Legal) P
Cash Receipts Book 4
Insurance Policies (After Expiration) 4
Expense Analysis & Distribution Schedules 4
Inventories 4
Financial Statements P
Leases (after expiration) 4
Fixed Assets Records P
Legal Briefs P
General Ledgers P
Licenses P
Invoices 4
Merger Acquisition Records P
Journals/Cash Books 4
Board Minutes P
Office Equipment Records (after disposition) 3

PERSONNEL

Patents P

P = Permanently

Employment History P
Profit and Loss Statements P
Individual Employee Records P
Property Records P
Payroll Register P
Trademark Records P
Time Cards and Sheets 4
Unclaimed Wages (given to state after 3 yrs) 3

TAXATION

Cancelled payroll checks 4
Annuity or Deferred Payment Plan P
Retirement and Pension Plans P
Payroll Tax Returns 4
Group Insurance Records P
Withholding Tax Statements (W-2s) 4
Training Materials 4
Tax Bills and Statements 4
Employee Travel and Expense Reports 4
Federal Tax Returns & Work Papers P
Interim Payroll Registers 4
State Tax Returns & Work Papers P
Sales and Misc. Tax Returns 4
Depreciation Schedules P

Approved: _____

Ron Schmitz, Chair

APPENDIX A

East Texas Gulf Coast Regional Trauma Advisory Council

File Maintenance and Disposition Plan Form

Name of Project: _____

Date Project Started: _____

Date Project Ended: _____

Amount of the Contract: _____

Description of the Files within the storage case:

Disposition Instructions:

Signature

Date _____

Printed Name: _____

