

RECORDS MANAGEMENT

BACKGROUND

The East Texas Gulf Coast Regional Trauma Advisory Council recognizes the importance of managing all information records and to comply with all legal and regulatory obligations. These records are a vital asset supporting the ongoing operations and provide an overview of business activities over time.

PURPOSE

Records must be managed through an information lifecycle from creation, through storage, processing / use and ultimately disposal. Record management is key to show compliance with state and federal grants. This policy applies to all records created, received or maintained by the Board of Directors, Committee Chairs and/or Contractor while carrying out its functions. The Board of Directors may select specific documents for permanent preservation.

DEFINITIONS

Record / records: defined as information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. Examples of records include but not limited to state/federal contracts with all supporting documentation that fulfills the contract, financial documents, computer files, reports, and correspondence both written and email.

PROCEDURE

Electronic Storage

The RAC computer will be backed up on an external hard drive and stored in the RAC office in a locked file cabinet. All paper files will be converted to an electronic format and stored in the cloud service used by this organization. Access to these files is limited to the Executive Board of Directors and the Contract employee of the organization.

The following process will be utilized for file maintenance on the cloud service:

1. A folder will be created and labeled by fiscal year.
2. Within the main folder, subfolders are created representing key documents that must be saved and placed in the appropriate subfolder. Examples include but not limited to: Board of Directors, Committees, Contracts, Designation Letters, DSHS Deliverables, EMS County Grant, Finance, Membership Applications, General Assembly, Professional Development, Participation Letters in Good Standing, Reverification Letters, and Tax Documents.
3. Additional folders may be created as needed.

Financial Records

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 six years from the date of the submission of the final expenditure report. If any litigation, claim, or audit is started prior to 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.

Paper Documents

All paper documents will be scanned and stored in the electronic cloud service utilized by the organization.

Property and Equipment Records

Records for property and equipment acquired with federal funds must be retained for three years after final disposition of the property or equipment.

BUSINESS RECORD RETENTION SCHEDULE

The use of an electronic storage system, such as OneDrive, will be used as the repository for permanent storage of the following records. Records will be stored by fiscal year. Stored documents include but are not limited to the following:

ACCOUNTING AND FISCAL / CORPORATE TERM				
Annual Reports	Audits	Board of Director Minutes	Certification of Incorporation	Copyrights
Financial Statements	Fixed Asset Records	General Ledgers	Legal Briefs	Legal Correspondence
Licenses	Merger Acquisition Records	Organization Charter	Tax Exempt Application	501 C-3 Application

MEMBERSHIP DOCUMENTS			
Annual Membership Applications	Case Studies	Committee Minutes	Committee Participation Records
General Assembly Minutes	General Assembly Participation Records	Participation in Regional Drills	Professional Development Applications
Professional Development Completion Documents	Survey Results		

PERSONNEL			
Employment History	Individual Employee Records	Patents	Payroll Register
Property Records	Profit and Loss Statements	Trademark Records	

TAXATION		
Annuity or Deferred Payment Plan	Depreciation Schedules	Federal Tax Returns and Work Papers
Group Insurance Records	Retirement and Pension Plans	State Tax Returns and Work Papers

PRIVATE AND CONFIDENTIAL			
Disputes	Distribution of Assets	Employee Evaluations	System Performance Improvement Documents

Alyson Nickum-Smith

9/9/25

Alyson Nickum-Smith
Chair, Board of Director

Date