



El Dorado County Emergency Services Authority

Policy Subject Matter: **Records Management**
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I. Policy:

Business records and documents of the El Dorado County Emergency Services Authority (JPA) will be protected and maintained according to local, state, and federal laws, rules, and accepted business practices. Records and documents that are no longer needed will be disposed of at the proper time, and in a manner that protects personal and financial information.

II. Purpose:

This policy has been created for the purposes of providing JPA employees and its member agencies with specific instructions on how business records and documents are to be retained, protected and the disposal process.

III. Procedure:

Business records and documents will be retained as follows:

- a. Administration: The Executive Director of the JPA will be the records management administrator for all JPA records and documents relating to business operations. This policy excludes patient medical records and documents that are managed by other agencies. The records management administrator will have the responsibility for:
 - Ensuring records and documents are retained and disposed of in accordance with all applicable local, state and federal laws and accepted business practices;
 - The administrator will have the authority to make modifications to this policy as deemed necessary to maintain compliance;
 - When the administrator becomes aware of a pending governmental investigation, audit, and or civil litigation that will involve the JPA, records and documents relating to the matter will be retained as long as deemed necessary, and on the advice of counsel. The administrator will additionally and promptly notify all JPA employees, member agencies, and the EMS agency of the pending matter.
- b. JPA Employees: JPA employees will retain and protect records and documents in compliance with this policy and all applicable local, state, and federal laws, and accepted business practices. When a JPA employee become aware of a pending governmental investigation, audit, and or civil litigation that may involve the JPA, the JPA Executive Director will be immediately informed.
- c. Sub-contractors: JPA member agencies will maintain a records management policy that complies with local, state, and federal laws, rules, and accepted

business practices. When a member agency become aware of a pending governmental investigation, audit, and or civil litigation that may involve the JPA, the JPA Executive Director will be notified immediately.

- d. Computer File Back-up: Records and documents stored in JPA owned computers at the office will be automatically backed up on a daily basis.
- e. Email Messages and Attached Documents: Email messages and emails with attached documents shall be retained in a like manner as we would with hard-copy records and documents. Email messages that are to be retained should be printed out and kept in an appropriate file. Additionally, the email message should be forwarded to the “archive” file when deemed appropriate.
- f. Confidentiality: Certain records such as patient medical records and personal identity information must be maintained in a safe and secure place. JPA employees and sub-contractors will comply with all local, state, and federal laws, rules, and regulations relating to the release of confidential information.
- g. Records and Document Disposition: As stated below, certain records and documents will have to be retained permanently while others have an identified time period. Once these time periods have passed and the continued retention of these records and documents serves no useful purpose, they may be destroyed. The JPA and its sub-contractors may elect Not to retain certain documents they have received since the agency that produced the document(s) will by policy retain them as outlined below. Destruction of financial and personnel-related materials will be accomplished through shredding. Office space is limited and the disposition of records and documents is appropriate when done in compliance with this policy.
- h. Retention Periods: The following list includes records and documents that are to be retained and the time periods for that retention. Documents that are not specifically listed, but substantially similar to a listed type of document will be retained in the same manner. Time periods begin on the date in which a JPA record or document is created, and or on the date when a record-document is received from another agency.

1. Joint Powers Authority Records:

- Annual reports to State agencies Permanent
- JPA articles Permanent
- Board and Committee Meetings-Minutes Permanent
- Board Policies Permanent
- Fixed Asset Records-Inventories Permanent
- IRS and Tax documents Permanent
- Contracts (after expiration) 7 years
- Correspondence (general) 3 years

2. Accounting and Finance:

- Annual audits Permanent
- Financial statements Permanent
- General Ledgers Permanent
- Accounts receivable ledgers 7 years
- Accounts payable ledgers 7 years

• Business expense records	7 years
• Journal entries	7 years
• Invoices	7 years
• Sales records	5 years
• Credit card and cash receipts	3 years
3. Bank records:	
• Check registers	Permanent
• Bank deposit slips	7 years
• Bank statements and reconciliation	7 years
• Electronic fund transfers	7 years
4. Payroll and Employment Tax Records:	
• Payroll records	Permanent
• State unemployment Tax records	Permanent
• Earnings records	7 years
• Garnishment records	7 years
• Payroll tax returns	7 years
• W-2 statements	7 years
5. Employee Records:	
• Employment and termination agreements	Permanent
• Retirement and Pension Plan agreements	Permanent
• Promotion, demotion, discharge records	7 years
• Accident – exposure reports	7 years
• Worker’s Compensation records	7 years
• Salary schedules	5 years
• Employment applications	3 years
• Time cards	2 years – see grants
6. Grants:	
• Audits	Permanent
• Original grant proposal	7 years
• Grant agreements	7 years
• Grant expenditures (payroll –equipment)	7 years
7. Legal Counsel:	
• Insurance policies – loss records	Permanent
• Real estate and rental agreements	Permanent
• Legal Counsel correspondence	Permanent
• Civil Court actions	Permanent