**This schedule applies to: Public Health Agencies**

**Scope of records retention schedule**

This records retention schedule covers the public records of local government agencies (such as health departments, health districts, etc.) relating to the functions of promoting public health, managing vital records, providing health care and treatment, conducting research, and other activities pursuant to title 70 RCW. It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which authorizes the destruction/transfer of public records common to all local government agencies.

**Disposition of public records**

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as Archival (Appraisal Required) must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

**Revocation of previously issued records retention schedules**

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

**Authority**

This records retention schedule was approved by the Local Records Committee in accordance with RCW 40.14.070 on April 7, 2021.

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| *Signature on File*  ***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***  **For the State Auditor: Al Rose** | *Signature on File*  ***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***  **For the Attorney General: Matt Kernutt** | *Signature on File*  ***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***  **The State Archivist: Steve Excell** |

**REVISION HISTORY**

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| Version | Date of Approval | Extent of Revision |
| 1.0 | December 1999 | Initial version. | |
| 2.0 | July 2001 | Major revision. | |
| 3.0 | March 26, 2009 | Name changed from “*Health Districts and Departments*” to “*Health Departments and Districts*”. Records series common to all local government agencies now appear in the new *Local Government Common Records* *Retention Schedule (CORE)* and have been removed from this schedule*.* All Disposition Authority Numbers (DANs) in the *Health Departments and Districts Records Retention Schedule* now begin with the prefix “HE”; there have been no changes to titles, descriptions, retention periods, or archival designations. | |
| 4.0 | January 27, 2011 | Major revision of entire schedule. | |
| 4.1 | August 20, 2015 | Minor revisions throughtout the schedule, especially the Enviromental Health Management – Auditing and Inspection section. | |
| 4.2 | April 7, 2021 | Minor revisions throughtout the schedule, especially the Environmental Health Management – Licensing and Permitting section. | |

For assistance and advice in applying this records retention schedule,

please contact your agency’s Records Officer/Manager

or Washington State Archives at:

[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

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1. AGENCY MANAGEMENT

This section covers records relating to agency management that are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

| * 1. COMMUNITY RELATIONS   *The activity of the local government agency interacting with its community.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-000  Rev. 1 | ***Crisis Lines***  Records relating to phone calls received by the agency through a crisis phone line. | **Retain** for 6 years after date of contact  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-001  Rev. 1 | ***Client Relations***  Records relating to the agency’s interactions with clients or their representatives, such as inquiries, complaints, and grievances.  Includes, but is not limited to:   * Inquiries/complaints/grievances received (such as environmental health complaints, etc.); * Documentation of agency response(s).   Excludes records covered by *Health Insurance Portability and Accountability Act (HIPAA) – Complaints (DAN HE2011-006)*. | **Retain** for 8 years after inquiry/complaint/grievance matter resolved  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. QUALITY ASSURANCE AND COMPLIANCE   *The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-002  Rev. 1 | ***Client Accidents/Incidents – No Claim Filed (Age 18 and Older)***  Records relating to accidents/incidents involving clients age 18 and older in the course of receiving health-related services, and where claims for damages are not expected or likely to be filed. Includes, but is not limited to, reports and investigations.  Excludes records covered by:   * *Accidents/Incidents (Hazardous Materials) – No Human Exposure (DAN GS50-19-03)*. * *Accidents/Incidents – No Claim Filed (Age 18 and Older) (DAN GS2010-081)*. * *Client Accident/Incidents – No Claim Filed (Under Age 18) (DAN HE2011-003)*. | **Retain** for 8 years after date of accident/injury  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-003  Rev. 0 | ***Client Accidents/Incidents – No Claim Filed (Under Age 18)***  Records relating to accidents/incidents involving clients younger than age 18 in the course of receiving health-related services, and where claims for damages are not expected or likely to be filed. Includes, but is not limited to, reports and investigations.  Excludes records covered by:   * *Accidents/Incidents (Hazardous Materials) – No Human Exposure (DAN GS50-19-03)*. * *Accidents/Incidents – No Claim Filed (Under Age 18) (DAN GS50-06C-03)*. * *Client Accident/Incident – No Claim Filed (Age 18 and Older) (DAN HE2011-002)*. | **Retain** for 8 years after injury/accident  *and*  6 years after juvenile attains age 18  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-004  Rev. 0 | ***Health Insurance Portability and Accountability Act (HIPAA) – Accountings of Disclosure***  Records of client requests for accountings of protected health information disclosures performed by the agency.  Includes, but is not limited to:   * Requests to inspect or obtain copies of any protected health information; * Documentation of clients taking exception to information in their records with which they disagree, and/or request corrections; * Disclosures of individuals’ protected health information made by the agency or its business associates.   *Note: Retention based on an individual’s right to receive an accounting of disclosures of protected health information made by the agency during the previous six years (45 CFR § 164.528(a)).* | **Retain** for 6 years after date of disclosure  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-005  Rev. 1 | ***Health Insurance Portability and Accountability Act (HIPAA) – Amendments to Protected Health Information***  Records relating to patient requests for amendments to protected health information pursuant to 45 CFR § 164.526.  Includes, but is not limited to:   * Requests for and statements of amendment; * Documentation of provider challenges to proposed amendment; * Internal and external correspondence relating to requests/amendments; * Provider statements of disagreement. | **Retain** until destruction of protected health information subject to amendment(s)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-006  Rev. 0 | ***Health Insurance Portability and Accountability Act (HIPAA) – Complaints***  Records generated during the agency’s internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency.  Includes, but is not limited to:   * Complaints received; * Complaints submitted by workforce members; * Complaints submitted by clients; * Background materials pertaining to complaints received; * Agency responses to complaints; * Complaint logs.   *Note: Retention based on 6-year requirement for the retention of documentation relating to HIPAA-related complaints (45 CFR § 164.530(j)(2)).* | **Retain** for 6 years after final resolution  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-007  Rev. 0 | ***Health Insurance Portability and Accountability Act (HIPAA) – Sanctions to Workers***  Records relating to sanctions applied to workers for non-compliance with privacy policies or procedures. | **Retain** for 6 years after fulfillment of sanction(s)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-008  Rev. 0 | ***Major Incident Reviews***  Records relating to events identified as major or significant incidents by the agency for the purposes of improving future responses and to identify training or safety issues for incorporation into training procedure. | **Retain** for 8 years after date of incident  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE2011-009  Rev. 0 | ***Medical Staff Credentialing/Privileging***  Records relating to credentialing or privileging of medical staff including reviews of practitioners’ qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation.  Excludes records covered by *Employee Work History (DAN GS50-04B-06)*.  *Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners.* | **Retain** for 8 years after termination of employment  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HE2011-010  Rev. 0 | ***Release of Information Logs***  Logs documenting the release/disclosure of health information by the agency. | **Retain** for 6 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-011  Rev. 0 | ***Standard of Care***  Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions. | **Retain** for 8 years after obsolete or superseded  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

1. ASSET MANAGEMENT

This section covers records relating to asset management that are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

| * 1. MAINTENANCE   *The activity of repairing or servicing the assets of the local government agency. Includes building, vehicles, and equipment.*  *See* ***CORE – Asset Management*** *for all other records relating to the agency’s assets.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-02H-01  Rev. 1 | ***Clinical Instrument Studies***  Records relating to clinical laboratory instrument studies.  *Note: Retention based on life of the instrument/method plus 2 years requirement for records relating to instrument/method validation studies (WAC 246-338-070).* | **Retain** for 2 years after disposal of instrument  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-012  Rev. 0 | ***Radiation Instrument Calibration (Drinking Water)***  Calibration data and maintenance of radiation instruments and analytical balances used to analyze drinking water.  *Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter VI, page VI-8 requires the permanent retention of records documenting calibration data and maintenance records on all radiation instruments and analytical balances. (http://www.epa.gov/ogwdw/methods/pdfs/manual\_labcertification.pdf)* | **Retain** for the life of the agency  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HE2011-013  Rev. 0 | ***Sterilizer Spore Tests***  Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030(11)(d).  *Note: Retention based on 3-year requirement for the retention of records relating to sterilizer testing (WAC 246-145-030(11)(d)).* | **Retain** for 3 years after date of test  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. ENVIRONMENTAL HEALTH MANAGEMENT

The function of enforcing laws and regulations and enacting measures to ensure environmental health.

| * 1. AUDITING AND INSPECTION   The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency’s jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances.  See **CORE – Asset Management** for records relating to the agency’s assets (buildings, land, water bodies, infrastructure, etc.). | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01J-05  Rev. 1 | ***Business Registers***  Registers of business establishments that are subject to periodic inspections to evaluate compliance with applicable laws and regulations. | **Retain** until obsolete or superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01J-04  Rev. 1 | ***Condemnation/Demolition Orders***  Records relating to the demolition, decontamination, or disposal of contaminated properteries and/or illegal drug manufacturing or storage sites, structures, or vehicles by order of the agency in accordance with RCW 64.44.050.  Includes, but it not limited to:   * All phases of investigation and remediation; * Copies of police reports; * Posted notices; * Logs of removed material/property; * Contractor and subcontractor contracts; * Work, sampling, and disposal plans; * Sampling results; * Related correspondence/communications.   Excludes records covered by *Hazardous Waste – Chemical Site Inspections (DAN HE55-01M-02)*. | **Retain** for 6 years after date of order  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2015-001  Rev. 0 | ***Environmental Monitoring (Agency Jurisdiction)***  Records relating to environmental monitoring of areas within the agency’s jurisdiction for purposes of prevention, control, and abatement of public health hazards and nuisances in accordance with RCW 70.05.060.  Includes, but is not limited to:   * Project plans/strategies, mitigation steps (recommended, taken, disregarded, etc.); * Field studies, system tracking, air/land surveys, observations, maps; * Sampling results and analysis (soil, air, water, etc.); * Meeting materials, minutes, etc.; * Related correspondence (regardless of format).   Excludes environmental monitoring covered more specifically elsewhere, such as:   * Inspections/monitoring covered in the Licensing and Permitting section. * Monitoring of agency-owned assets (buildings, infrastructure, etc.) covered in *CORE*. * Environmental testing performed as a service to the general public covered by HE2015-002. | **Retain** for 6 years after hazard/nuisance resolved (if identified) and monitoring discontinued  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE55-02L-01  Rev. 1 | ***Facility Inspections (General)***  Records relating to the inspection of facilities or establishments where not covered by a more specific record series.  Includes, but is not limited to inspections of the following:   * Dairies, food, meat processing, and food establishments; * Living environments such as parks, recreational facilities, schools, and farmworker housing; * Spas, swimming beaches, and pools; * Sewers (public and private); * Schools.   Excludes:   * Solid waste facility inspections covered by HE55-01J-24. * Records relating to agency facility inspections covered by CORE series GS50-06B-27. | **Retain** for 6 years after date of inspection  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01M-01  Rev. 1 | ***Hazardous Waste – Business Audits***  Records relating to audits of businesses responsible for creating hazardous waste. | **Retain** for 6 years after completion of audit  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE55-01M-02  Rev. 2 | ***Hazardous Waste – Chemical Site Inspections***  Records relating to the agency’s inspection of chemical sites which may, or are known to, collect or create hazardous waste.  Includes, but is not limited to:   * Inspection documentation; * Documentation of chemical site’s corrective actions in response to inspections.   Excludes records covered by *Hazardous Materials/Dangerous Waste – Abatement and Remediation (DAN GS50-19-15)*. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01M-03  Rev. 1 | ***Hazardous Waste – Collector’s Audits***  Records relating to inspections of hazardous waste collectors. | **Retain** for 6 years after completion of audit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-014  Rev. 0 | ***On-Site Sewage Systems – Maintenance and Inspection***  Records relating to reports received from maintenance and inspection specialists, septic tank pumpers, or other servicers performing on-site sewage disposal system inspections. | **Retain** until notification that system has been decommissioned  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01J-15  Rev. 1 | ***Planning Department Recommendations***  Records relating to reports, criteria, and recommendations developed by the agency for the local Planning Department on health-related issues. | **Retain** for 6 years after date of report/recommendation  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE2011-015  Rev. 0 | ***Recreational Shellfish Beach Classifications***  Agency files on the annual classification/reclassification of recreational shellfish beaches based on the risk to public health from consuming shellfish. | **Retain** for 1 year after updated/superseded  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OFM |
| HE55-01J-21  Rev. 2 | ***Sewage Treatment Site Inspections***  Records relating to the inspection of public and private sewage treatment sites. Includes documentation of any problems discovered during the course of investigation and related corrective action(s).  Excludes records covered by *On-Site Sewerage Systems – Maintenance and Inspection (DAN 2011-014)*. | **Retain** for 50 years after closure of sewage treatment site  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-016  Rev. 0 | ***Solid Waste – Characterization and Disposal (General)***  Records relating to solid waste characterization advice provided by the agency where the waste is not determined to be hazardous waste. | **Retain** for 5 years after advice provided  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01M-04  Rev. 1 | ***Solid Waste – Characterization (Hazardous Waste)***  Records relating to solid waste characterization advice provided by the agency to other entities where the waste is determined to be hazardous waste. | **Retain** for 50 years after advice provided  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01J-24  Rev. 1 | ***Solid Waste – Facility Inspections***  Records relating to the permitting, inspection, and/or monitoring of solid waste disposal sites.  Includes, but is not limited to:   * Incinerators; * Landfills; * Recycling facilities; * Sewage sludge sites; * Transfer stations.   Excludes records covered by *Facility Inspections (General) (DAN HE55-02L-01)*. | **Retain** for the life of the facility  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01K-05  Rev. 1 | ***Vector/Pest Control***  Records relating to inspections for rodent and other types of pest infestations. | **Retain** for 6 years after date of inspection  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01J-26  Rev. 1 | ***Water Well Reports***  Copies of water well reports submitted by well drillers to the Department of Ecology describing the location, ownership, construction details, and lithology of completed wells. | **Retain** until no longer needed for agency business  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. LICENSING AND PERMITTING   The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01J-01  Rev. 1 | ***Building Plan Reviews***  Records relating to reviews of construction project plans for changes to facilities, new construction, or building alterations or additions in the agency’s jurisdiction, including school construction/modification reviews performed in accordance with chapter 246-366A WAC. | **Retain** for 6 years after completion of review  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01F-04  Rev. 3 | ***Burial/Cremation/Transit Permits***  Records relating to permits for the burial, cremation, or transit of deceased persons pursuant to RCW 70.58.230.  Includes, but is not limited to:   * Burial, cremation, and transit permits; * Notices of removal. | **Retain** for 1 year after expiration of permit  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HE55-01D-06  Rev. 2 | ***Food Borne Illness Complaints and Investigations***  Records relating to food borne illness complaints received and any resultant agency response or investigation. | **Retain** for 6 years after matter settled  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-02L-06  Rev. 1 | ***Food Worker Permits***  Records relating to the issuance of food worker permits in accordance with chapter 246-217 WAC. | **Retain** until expired or superseded  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HE2011-017  Rev. 0 | ***Hazardous Waste – Permits***  Records relating to permits for the disposal of contaminated soils and/or other industrial waste.  Includes, but is not limited to:   * Permit application materials; * Correspondence. | **Retain** for 50 years after expiration of permit  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01F-09  Rev. 1 | ***Inter and Disinter Permits***  Records relating to the issuance of permits for the interment or disinterment of deceased persons. | **Retain** for 6 years after expiration of permit  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01A-10  Rev. 1 | ***Licenses Issued Registers***  Registers of licenses issued by the agency. | **Retain** for 6 years after expiration of last license listed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HE55-01J-18  Rev. 2 | ***On-Site Sewage Systems – Approved Permits***  Records relating to approved permits for the installation, repair, alteration, or expansion of an on-site sewage system.  Includes, but is not limited to:   * Permit application materials; * Percolation tests and soil probes; * Waivers granted. | **Retain** until notification that system has been decommissioned  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01J-13  Rev. 1 | ***Permit and Approval Summaries***  Summaries of permits and approvals granted by the agency. | **Retain** for 6 years after expiration/termination of permit or approval  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2021-005  Rev. 0 | ***Permits, Licenses, and Approvals – Denied/Withdrawn***  Records relating to permits and approvals denied by the agency or withdrawn by the applicant, ***where not covered by a more specific records series***.  Includes, but is not limited to:   * Application and supporting documents; * Agency review of application; * Notice of denial or withdrawal; * Related correspondence/communications.   Excludes records relating to successful applications for permits, licenses, or approvals. | **Retain** for 1 year after date denied/withdrawn  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01J-14  Rev. 2 | ***Permits, Licenses, and Approvals – General***  Records relating to permits, licenses, and approvals issued by the agency, ***where not covered by a more specific records series***.  Includes, but is not limited to:   * Application and supporting documents; * Agency review of application; * Notice of approval; * Permit, license, or approval issued; * Related correspondence/communications.   Excludes records covered by:   * *Permits, Licenses, and Approvals – Denied/Withdrawn (DAN HE2021-005)*; * *Burial/Cremation/Transit Permits (DAN HE55-01F-04)*; * *Food Worker Permits (DAN HE55-02L-06)*; * *Hazardous Waste Permits (DAN HE2011-017)*; * *On-Site Sewage Systems – Approved Permits (DAN HE55-01J-18)*; * *Water Recreation Facility Permits (DAN HE2011-018)*; * *Water Supply System Permits (DAN HE55-01J-25)*. | **Retain** for 6 years after expiration of permit/license/approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01J-02  Rev. 1 | ***Solid Waste – Closed Landfills***  Records relating to closed landfill sites. | **Retain** for 50 years after site closure  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-018  Rev. 0 | ***Water Recreation Facility Permits***  Permits issued by agency for the construction of water recreation facilities.  Includes, but is not limited to:   * Application form(s); * Pertinent plans and specifications submitted with application. | **Retain** for 3 years after expiration  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HE55-01J-25  Rev. 1 | ***Water Supply System Permits***  Records relating to the permitting and ongoing inspection of public and/or private water supply systems.  Includes, but is not limited to documentation relating to:   * Distribution systems; * Filtering; * Treatment installations; * Water quality analysis. | **Retain** for the life of the agency  then  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. TESTING AND ANALYSIS   The activity of testing and analyzing environmental samples. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-019  Rev. 0 | Drinking Water – Laboratory Assessments/Certification Reviews  Records relating to on-site laboratory assessments and/or certification program reviews of labs that analyze drinking water.  Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter III, page III-9 requires the retention of records relating to laboratory assessments and on-site certification reviews for at least 6 years to include the last two on-site audits. | **Retain** for 6 years after completion of assessment/ review  *and*  until completion of two subsequent audits  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-020  Rev. 0 | Drinking Water – Radionuclide Analysis of Compliance  Records relating to radionuclide analyses of compliance samples.  Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter IV, page IV-12 requires the retention of records relating to radionuclide analyses of compliance samples for 10 years (see 40 CFR § 141.33). | **Retain** for 10 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-026  Rev. 0 | Effluent/Discharge Monitoring Data and Supporting Documentation  Records relating to the monitoring of sites or locations that discharge pollutants or effluents, including data and site monitoring support documentation.  Includes, but is not limited to:   * Biosolid testing (e.g. land application); * Field/remote testing; * Industrial pre-treatment monitoring; * Solid waste testing; * Wastewater treatment monitoring (operational monitoring, etc.). | **Retain** for 10 years after testing completed  *and*  until fulfillment of retention requirement(s) specified on discharge permit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2015-002  Rev. 0 | ***Environmental Testing (Service to Public)***  Records relating to environmental sample testing offered as a service to the general public. Includes tests such as residential indoor air quality, lead paint, mold, garden soil (for lead/contaminants), etc. Does not include testing relating to agency-owned assets.  Includes, but is not limited to:   * Original request form submitted by requestor; * Sample tracking (chain of custody) records; * Test results and data; * Records documenting what was provided to the requestor (test reports, etc.).   Excludes:   * Records covered by *Environmental Monitoring (Agency Jurisdiction) (DAN HE2015-001)*. * Monitoring of agency-owned assets (buildings, infrastructure, etc.) covered by *CORE*. | **Retain** for 6 years after results provided to requestor  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-021  Rev. 0 | Laboratory Quality Assurance and Control (Environmental Lab)  Records relating to quality assurance testing and control activities in environmental labs, including labs that analyze drinking water.  Includes, but is not limited to:   * Documentation of analytical methods; * Instrument calibrations; * Proficiency testing; * Method detection limit studies; * Method validation studies. | **Retain** for 10 years after conclusion of analysis/testing/calibration  *or*  until completion of Dept. of Ecology audit, *whichever is sooner*  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-022  Rev. 0 | Public Water Systems – Analysis for Lead/Copper  Records relating to the testing of water samples from public water systems for lead and copper.  Includes, but is not limited to:   * Instrument logs; * Sample collection and control documentation; * Raw data and calculations; * Quality control data.   Excludes records covered by:   * *Public Water Systems – Bacteriological and Turbidity Analyses (DAN HE2011-023)*; * *Public Water Systems – Chemical Analyses (DAN HE2011-024)*; * *Public Water Systems – General (DAN HE55-02H-03)*.   Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter IV, page IV-9 requires the retention of records relating to chemical analyses for lead and copper for twelve years (see 40 CFR § 141.91). | **Retain** for 12 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-023  Rev. 1 | Public Water Systems – Bacteriological and Turbidity Analyses  Records relating to bacteriological and turbidity analyses of Group A and/or Group B public water systems as defined by title 246 WAC.  Includes, but is not limited to:   * Instrument logs; * Sample collection and control documentation; * Raw data and calculations; * Quality control data.   Excludes records covered by:   * *Public Water Systems – Analysis for Lead/Copper (DAN HE2011-022)*; * *Public Water Systems – Chemical Analyses (DAN HE2011-024);* * *Public Water Systems – General (DAN HE55-02H-03)*.   Note: Retention based on 5-year requirement for the retention of bacteriological and turbidity analysis results (WAC 246-290-480(1)(a)). | **Retain** for 5 years after completion of analysis  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-024  Rev. 1 | Public Water Systems – Chemical Analyses  Records relating to chemical analyses of Group A and/or Group B public water systems as defined by title 246 WAC.  Includes, but is not limited to:   * Instrument logs; * Sample collection and control documentation; * Raw data and calculations; * Quality control data.   Excludes records covered by:   * *Public Water Systems – Analysis for Lead/Copper (DAN HE2011-022)*; * *Public Water Systems – Bacteriological and Turbidity Analyses (DAN HE2011-023)*; * *Public Water Systems – General (DAN HE55-02H-03)*.   Note: Retention based on requirement for the retention of chemical analysis results for as long as the system is in operation (WAC 246-290-480(1)(a)). | **Retain** for the life of the public water system  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-02H-03  Rev. 2 | Public Water Systems – General  Records relating to the analysis of Group A and/or Group B public water systems as defined by title 246 WAC, ***where not covered by a more specific records series***.  Includes, but is not limited to:   * Instrument logs; * Sample collection and control documentation; * Raw data and calculations; * Quality control data.   Excludes records covered by:   * *Public Water Systems – Analysis for Lead/Copper (DAN HE2011-022)*; * *Public Water Systems – Bacteriological and Turbidity Analyses (DAN HE2011-023)*; * *Public Water Systems – Chemical Analyses (DAN HE2011-024)*. | **Retain** for 5 years after conclusion of analysis  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-025  Rev. 0 | Sample Management  Records relating to the management and tracking of samples received by the environmental laboratory for testing or analysis.  Includes, but is not limited to:   * Chain of custody documentation; * Sample receipt documentation. | **Retain** for 10 years after conclusion of sample testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. HEALTH CARE AND TREATMENT

The function relating to the assessment, diagnosis, and treatment of clients.

| * 1. ASSESSMENT AND REFERRAL   The activity of assessing clients’ health care needs and referring them to health care providers outside of the agency, when appropriate. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-027  Rev. 0 | Encounter Forms/Fee Sheets  Records documenting services or procedures provided to clients and pertinent coding or billing information associated with services provided. | **Retain** for 6 years after provision of health-related services  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01D-07  Rev. 1 | HIV Test Reports  Records relating to non-identifiable client HIV test reports received from the Department of Health lab. | **Retain** for 2 years after date of receipt  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01C-16  Rev. 1 | Referrals  Records relating to individuals referred to the agency from private practices or other agencies, or by the agency for services from non-agency providers. Includes maternal referrals. | **Retain** for 2 years after date of referral  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01C-02  Rev. 2 | Screening and Referral  Records documenting summary information about the screening of clients for medical conditions (and subsequent results, diagnosis, suspect log, recommendation, referral, etc.).  Medical screening programs include, but are not limited to:   * Alcoholism, cancer, cardiac, diabetes, hypertension, sexually transmitted disease; * Dental health, glaucoma, pregnancy, etc.   Excludes records covered by:   * *Client Medical Records – Age 18 and Over (DAN HE55-01B-01)*; * *Client Medical Records – Under Age 18 (DAN HE2011-030)*. | **Retain** for 2 years after screening/referral  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. BACKGROUND CHECKS   The activity of responding to health-related background check requests. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2021-004  Rev. 0 | Background Checks for Return of Firearms  Records relating to behavioral health background checks performed by the agency on behalf of law enforcement agencies before the return of privately owned firearms in accordance with RCW 9.41.040 and RCW 9.41.345. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. CLIENT ADMINISTRATION   The activity of administering health care and treatment services provided for clients. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01D-04  Rev. 2 | ***Master Client/Patient Index***  Records documenting patient identification, registration, medical, and billing information for each individual registered for public health services.  *Note: The American Health Information Management Association (AHIMA) recommends the permanent retention of the master patient index.* | **Retain** until destruction of pertinent medical record  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. CLIENT BILLING   The activity of billing clients for services rendered. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01C-14  Rev. 1 | ***Client Billing and Financial Assistance***  Records relating to billing of insurance and third party payers for the provision of medical services.  Includes, but is not limited to:   * Applications for financial assistance; * Client eligibility documentation; * DSHS pre-authorizations; * Client refunds. | **Retain** for 6 years after final account activity  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-029  Rev. 0 | ***Clinical Resource Management/Utilization Review***  Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity. | **Retain** for 8 years after completion of utilization review  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01A-06  Rev. 1 | ***Department of Social and Health Services Billing***  Records relating to claims billed to the Department of Social and Health Services (DSHS), regardless of whether the claim has been paid or denied.  Includes, but is not limited to:   * Medical assistance remittances; * Status reports; * Claim documents. | **Retain** for 6 years after expiration of DSHS contract  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01A-03  Rev. 1 | ***Financial Assessments***  Records relating to the assessment of clients’ financial resources and their ability to fund medical treatment, including patient eligibility records. | **Retain** for 6 years after date of assessment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. CLIENT MEDICAL RECORDS   The activity of managing documentation relating to the assessment and treatment of clients. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01B-01  Rev. 2 | ***Client Medical Records – Age 18 and Over***  Records created by the public health agency on a per-client basis to document health care services provided to clients age 18 and over.  Includes, but is not limited to:   * Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC); * Medication administration records; * Expedited Partner Therapy (EPT) prescription files if partners are not clients of the agency; * Client treatment history and treatment summaries; * Dental records.   Excludes:   * Mental health counseling records covered by *Counseling (DAN HE2011-032)*; * Radiologic reports covered by *Radiologic Reports (DAN HE2011-034)*; * Client medical records for which a disclosure authorization has been made in the final year of retention covered by *Client Medical Records – Disclosure Authorized (DAN HE2011-031)*. | **Retain** for 8 years after last provision of health-related services  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-030  Rev. 1 | ***Client Medical Records – Under Age 18***  Records created by the public health agency on a per-client basis to document health care services provided to clients under age 18.  Includes, but is not limited to:   * Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC); * Medication administration records; * Expedited Partner Therapy (EPT) prescription files if partners are not clients of the agency; * Client treatment history and treatment summaries; * Dental records.   Excludes:   * Mental health counseling records covered by *Counseling (DAN HE2011-032)*; * Radiologic reports covered by *Radiologic Reports (DAN HE2011-034)*; * Client medical records for which a disclosure authorization has been made in the final year of retention covered by *Client Medical Records – Disclosure Authorized (DAN HE2011-031)*. | **Retain** for 8 years after last provision of health-related services  *and*  3 years after client attains age 18  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-031  Rev. 1 | ***Client Medical Records – Disclosure Authorized***  Client medical records for which a disclosure has been authorized in accordance with RCW 70.02.030.  *Note: Retention based on 1-year following receipt of an authorization to disclose requirement for the retention of existing health care information (RCW 70.02.160).* | **Retain** for 1 year after receipt of authorization to disclose  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-032  Rev. 0 | ***Counseling***  Records relating to the provision of mental health counseling and services on a per-client basis by a licensed mental health counselor.  Includes, but is not limited to:   * Counseling notes and summaries; * Prescriptions.   Excludes client medical records for which a disclosure authorization has been made in the final year of retention covered by *Client Medical Records – Disclosure Authorized (DAN HE2011-031)*.  *Note: Retention based on 5-year following the client’s last visit requirement for the retention of all records relating to counseling services billed to a third-party payer (WAC 246-809-035(4)).* | **Retain** for 5 years after client’s last visit  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-033  Rev. 0 | ***Requests***  Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations. | **Retain** until added to client’s medical record. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-034  Rev. 0 | ***Radiologic Reports***  Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images where the radiologist’s final report has been added to the client medical record.  *Note: Retention based on 5-year requirement for the retention of radiologic reports and printouts (42 CFR § 482.26(d)(2)).* | **Retain** for 5 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-035  Rev. 0 | ***Staff Signature Lists***  Records documenting the signatures of staff who sign charts and other documentation relating to the provision of health-related services on behalf of the agency. | **Retain** for 8 years after obsolete or superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. CLINICAL LABORATORY   The activity of performing laboratory analysis to determine a medical diagnosis. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-02H-02  Rev. 1 | ***Quality Assurance/Control (Clinical Laboratory)***  Records relating to quality assurance and control testing/validations performed.  Includes, but is not limited to:   * Performance specifications; * Requisitions; * Instrument documentation; * Specimen identification and tracking records.   *Note: Retention based on 2-year requirement for the retention of records relating to clinical quality assurance and control records (WAC 246-338-070).* | **Retain** for 2 years after completion of testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-036  Rev. 0 | ***Specimen Testing (Clinical Laboratory)***  Records relating to the clinical testing of specimens in agency laboratories.  Includes, but is not limited to:   * Accession/test logs; * Test requisitions (or equivalent); * Test records and reports.   *Note: Retention based on 2-year requirement for the retention of clinical lab records and reports (WAC 246-338-070).* | **Retain** for 2 years after completion of testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-037  Rev. 0 | ***Test Procedures***  Records relating to test procedures implemented by the laboratory in accordance with 42 CFR § 493.1105.  *Note: WAC 246-338-070, the Clinical Laboratory Improvement Amendments (CLIA), and the College of American Pathologists require or recommend the retention of test procedures for 2 years.* | **Retain** for 2 years after procedure has been discontinued  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-038  Rev. 0 | ***Test Reports – General***  Reports and results for specimens tested at a clinical laboratory and where not covered by a more specific series.  *Note: WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.* | **Retain** for 2 years after examination of slide  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION   The activity of responding to potential and confirmed infectious or communicable disease threats. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01D-01  Rev. 1 | ***Animal Bites and Treatment***  Records relating to animal bites reported to the agency, or to agency treatment of animals that potentially pose a threat to human health and safety. | **Retain** for 6 years after last action  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01D-12  Rev. 1 | ***Case and Contact Registers – Sexually Transmitted Diseases***  Registers, logs, or other summary records documenting clients who are carriers of sexually transmitted diseases. | **Retain** for 2 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01D-15  Rev. 1 | ***Case and Contact Registers – Tuberculosis***  Registers, logs, or other summary records documenting active and/or inactive tuberculosis cases in the agency. | **Retain** for 10 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-039  Rev. 1 | ***Emergency Detention Orders***  Records relating to emergency detention orders issued for the purposes of isolation or quarantine in accordance with WAC 246-100-040. | **Retain** for 3 years after expiration of order  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HE2011-040  Rev. 0 | ***Emergency Incident Response***  Records relating to the agency’s response to health emergencies (such as H1N1) and its coordination or involvement in such response.  Includes, but is not limited to:   * Staff badging and credentialing information; * Correspondence; * Incident action plans and other planning and procedures developed on an incident-specific basis; * Staff schedules and station assignments; * Update (“situation”) reports for internal and/or public use. | **Retain** for 8 years after provision of last incident-related services  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE55-01D-05  Rev. 2 | ***Epidemiologic Investigations and Reports***  Records and reports pertaining to disease outbreak, response, treatment methods, demographic and diagnostic data.  Excludes Client Medical Records covered by HE55-01B-01 and/or HE2011-030. | **Retain** for 6 years after date of record or report  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| HE55-01D-14  Rev. 1 | ***Positive Culture Notifications***  Notifications received from laboratories regarding positive cultures and preliminary test results for certain diseases and conditions pursuant to WAC 246-101-210. | **Retain** for 2 years after date of notification  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01D-13  Rev. 2 | ***Sexually Transmitted Disease Case Reports***  Case reports detailing the diagnosis, progress, demographic, and location information on sexually transmitted diseases reported to and/or treated by the agency.  Excludes records covered by:   * *Client Medical Records – Aged 18 and Over (DAN HE55-01B-01)*; * *Client Medical Records – Under Age 18 (DAN HE2011-030)*. | **Retain** for 2 years after final report activity  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HE55-01D-18  Rev. 1 | ***Typhoid Fever Carriers***  Records relating to individuals known to carry typhoid fever, including signed carrier agreements. | **Retain** for 6 years after death of carrier  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01C-18  Rev. 1 | ***Vaccine Information Statements***  The agency’s master copy of Department of Health informational statements given to parents of children being vaccinated. | **Retain** until obsolete or superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS   *The activity of managing and administering public health WIC programs.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-042  Rev. 0 | CIMS (Client Information Management System) Supplemental Documentation  Supplemental documentation created by the local agency as supporting documentation to client files in the CIMS electronic system.  Includes, but is not limited to:   * Prescription forms; * Rights and responsibilities forms; * Signature forms; * Signed check stubs; * Handwritten check receipts; * Signed transfer/Verification of Certification (VOC) stubs. | **Retain** for 4 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-043  Rev. 0 | Expenditure Reports  Records relating to expenditure reports created by the local agency and submitted to the state WIC office.  Includes, but is not limited to:   * Expenditure Report Total forms; * Supporting documentation. | **Retain** for 4 years after report submitted  t*hen*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01W-04  Rev. 1 | Ineligible Client Files  Records relating to clients who have been determined to be ineligible to receive WIC program resources. | **Retain** for 4 years after ineligibility determination  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-044  Rev. 0 | Language Interpreter Usage Logs  Logs documenting requests to outside vendors for translation support services in clinic operations. | **Retain** for 4 years after date of last entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-045  Rev. 0 | Nutrition Education Plan  Records relating to annual Nutrition Education Plans created by local agencies in accordance with 7 CFR § 246.11(d). | **Retain** for 4 years after date submitted to state WIC office  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-046  Rev. 0 | Terminated Client Files  Records relating to client files for individuals whose program certification has been terminated. | **Retain** for 4 years after termination  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-047  Rev. 0 | Time Studies  Records relating to time studies and support documentation completed by the local agency for program resource planning and allocation. | **Retain** for 4 years after study completed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01W-10  Rev. 1 | Waiting Lists  Lists of individuals who are waiting to be accepted/certified into the WIC program. | **Retain** for 4 years after date of last entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. HUMAN RESOURCE MANAGEMENT

The function of managing the agency’s workforce, *where not covered by the Local Government Common Records Retention Schedule (CORE).*

| * 1. PERFORMANCE MANAGEMENT   The activity of assessing and directing employee progress toward performance goals. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-049  Rev. 0 | ***Staff Plans/Schedules***  Records relating to staff plans and schedules for nursing staff, social workers and other medical staff.  Excludes records covered by *Physician Call Schedules (DAN HE2011-050)*. | **Retain** until completion of Joint Commission on Accreditation of Healthcare Organizations audit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-050  Rev. 0 | ***Physician Call Schedules***  Schedules documenting on-call schedules for hospital physicians.  Excludes records covered by *Staff Plans/Schedules (DAN HE2011-049)*.  *Note: 42 CFR § 489.20(r)(1-3) requires the retention of physician on-call schedules.* | **Retain** for 5 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. STAFF DEVELOPMENT/TRAINING   The activity of enhancing employees’ competencies and skills through programs and training. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-048  Rev. 0 | ***Health Insurance Portability and Accountability Act (HIPAA) – Training***  Records relating to the provision of privacy/HIPAA training programs for agency employees.  Includes, but is not limited to:   * Training development records; * Training handouts, worksheets, PowerPoint presentations, etc. | **Retain** for 6 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. PHARMACY MANAGEMENT

The activity of operating a pharmacy and/or acquiring, distributing, or dispensing drugs.

| * 1. CLIENT MANAGEMENT   The activity of providing for the accurate tracking and management of clients and their pharmacy needs. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-051  Rev. 1 | ***Client Profile and Medication Records – Age 18 and Over***  A pharmacy-generated profile of clients ***age 18 and over*** relating to the filling and dispensing of medications as required by WAC 246-871-050(2).  Includes, but is not limited to:   * Client details; * Parenteral products dispensed; * Dates and details of dispensations; * Pharmacist identification; * Client notes, diagnoses, and conditions; * Prescription and refill records. | **Retain** for 8 years after date of last dispensing activity  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-052  Rev. 1 | ***Client Profile and Medication Records – Under Age 18***  A pharmacy-generated profile of clients ***under age 18*** relating to the filling and dispensing of medications as required by WAC 246-871-050(2).  Includes, but is not limited to:   * Client details; * Parenteral products dispensed; * Dates and details of dispensations; * Pharmacist identification; * Client notes, diagnoses, and conditions; * Prescription and refill records. | **Retain** for 8 years after client attains age 18  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. INVENTORY/DISTRIBUTION   The activity of documenting the agency’s inventory and/or distribution of pharmaceuticals. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-053  Rev. 1 | ***Drug Batch Data***  Records relating to data received from laboratories on drug batches.  Excludes records covered by *Pharmaceutical Inventory Accountability (DAN HE55-01C-12)*. | **Retain** for 50 years after completion/cessation of batch distribution  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-054  Rev. 0 | ***Inmate Medications***  Records documenting the provision of medications to inmates in jails or correctional facilities.  Excludes records covered by *Inmate Health Records (Age 18 and Over) (DAN LE15-01-25)* and *Inmate Health Records (Under Age 18) (DAN LE2010-034)* in the *Law Enforcement Records Retention Schedule*. | **Retain** for 8 years after date medication(s) provided  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-055  Rev. 0 | ***Pharmaceutical Distribution Errors***  Records relating to drug distribution errors discovered and/or reported upon by the agency in accordance with WAC 246-873-080(11). | **Retain** for 8 years after date of error  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01C-12  Rev. 1 | ***Pharmaceutical Inventory Accountability***  Records relating to the pharmacy’s acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances.  Includes, but is not limited to:   * Destruction records; * Dispensing registers and records/medication logs; * Clinic medication logs; * Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions, biologics inventory and distribution records); * Transfer records; * Vaccine sign out records; * Records of destruction as required by WAC 246-873-080(7)(e). | **Retain** for 6 years after date of destruction/disposition  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-056  Rev. 0 | ***Therapeutically Equivalent Drug Substitutions***  Records relating to authorizations for therapeutically equivalent drug substitutions in accordance with WAC 246-899-030(3). | **Retain** for 10 years after last authorized dispensation  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. QUALITY ASSURANCE AND CONTROL   The activity of enacting policies, methods, and procedures to ensure the provision of quality drugs and medications. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-057  Rev. 0 | ***Pharmaceutical Complaints and Investigations***  Records of complaints regarding pharmaceutical products and related investigation records produced in accordance with WAC 246-895-060(8). | **Retain** for 2 years after distribution of drug has been completed  *and*  1 year after expiration of drug  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HE2011-058  Rev. 0 | ***Pharmaceutical Recalls***  Records relating to the recall of pharmaceuticals which are, or have been, in the possession of the agency. | **Retain** for 8 years after last dispensation of drug  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-059  Rev. 0 | ***Pharmacy Policy, Procedure, and Training Manuals***  Manuals of pharmacy policies and procedures which ensure client health, safety, and welfare, as well as training manuals for pharmacy employees.  *Note: Retention based on 2-year requirement for pharmacy training, policy, and procedure manuals (WAC 246-871-050(4)(b) and (c)).* | **Retain** for 2 years after superseded  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OFM |

1. RESEARCH MANAGEMENT

The function of managing or engaging in research activities.

| * 1. CLINICAL TRIALS   The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-060  Rev. 0 | ***Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved***  Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where a Food and Drug Administration (FDA) application has been approved, retained in accordance with 21 CFR § 320.63 or 320.38. | **Retain** for 5 years after approval of FDA application or supplemental application  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-061  Rev. 0 | ***Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved***  Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where no Food and Drug Administration application has been approved, retained in accordance with 21 CFR § 320.63 or 320.38. | **Retain** for 5 years after date of completion of related bioavailability study  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-062  Rev. 0 | ***Device Trials***  Records relating to investigational medical device clinical trials retained in accordance with 21 CFR § 812.140.  Includes, but is not limited to:   * Investigator records of receipt, use, shipment, or disposition of an investigational device; * Investigator protocols and documentation showing dates and reasons of deviation from protocol; * Sponsor records of device shipment and disposition; * Signed investigator agreements; * Sponsor records concerning adverse device effects; * Other records required to be maintained by the Food and Drug Administration.   *Note: 21 CFR § 812.140(d) requires the retention of device trial records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.* | **Retain** for 2 years after date investigation completed/terminated  *and*  2 years after records are no longer required as supporting documentation for premarket approval application or a notice of completion of a product development protocol  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-063  Rev. 0 | ***Trial Drug Management – Food and Drug Administration Application Approved***  Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration (FDA) application has been approved.  *Note: 21 CFR § 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a FDA marketing application is approved.* | **Retain** for 2 years after date marketing application is approved  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-064  Rev. 0 | ***Trial Drug Management – No Food and Drug Administration Application Approved***  Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration (FDA) application has not been approved.  *Note: 21 CFR § 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for two years after shipment and deliver of the drug for investigational use is discontinued and the FDA has been notified.* | **Retain** for 2 years after investigation discontinued and FDA notified  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-065  Rev. 0 | ***Investigators’ Financial Interest***  Records relating to the financing of clinical investigations or bioequivalence studies from which data are intended to be submitted to the Food and Drug Administration as part of an application for market approval, retained in accordance with 21 CFR § 320.36(b) or 21 CFR § 54.6.  Includes, but is not limited to:   * Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR § 54.4(a)(3)(i); * Records showing significant payments made by the sponsor to the investigator as described in 21 CFR § 54.4(a)(3)(ii); * Records showing financial interests held by clinical investigators as described in 21 CFR § 54.4 (a)(3)(iii). | **Retain** for 6 years after date of application approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-066  Rev. 0 | ***In Vivo/In Vitro Tests***  Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product.  *Note: 21 CFR § 320.36(a) requires the retention of all records of in vivo or in vitro tests conducted on any marketed batch of a drug product for at least two years after the expiration date of the batch.* | **Retain** for 2 years after expiration date of the batch  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-067  Rev. 0 | Subject Case Histories – Food and Drug Administration Application Filed  Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has been filed.  Includes, but is not limited to:   * Case report forms and supporting data; * Signed and dated consent forms; * Medical records.   *Note: 21 CFR § 312.64 requires the retention of drug disposition and case history records for two years following the date a FDA marketing applications is approved for the drug being investigated.* | **Retain** for 2 years after date marketing application is approved  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-068  Rev. 0 | Subject Case Histories – No Food and Drug Administration Application Filed  Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has not been filed.  Includes, but is not limited to:   * Case report forms and supporting data; * Signed and dated consent forms; * Medical records.   *Note: 21 CFR § 312.64 requires the retention of drug disposition and case history records for two years after the investigation is discontinued and the FDA is notified.* | **Retain** for 2 years after investigation discontinued and FDA notified  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. INSTITUTIONAL REVIEW BOARDS   The activity of operating, or having involvement with, an institutional review board. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE2011-069  Rev. 0 | Institutional Review Boards (IRB) – General Board Records  Records relating to Institutional Review Boards and their activities in the monitoring and oversight of human subject research.  Includes, but is not limited to:   * IRB review of research proposals and ongoing review activities; * Minutes of IRB meetings; * IRB member lists and credentialing.   Note: 45 CFR 46.115(b) requires the retention of records relating to IRB activities for three years. | **Retain** for 3 years after date of document  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HE2011-070  Rev. 1 | Institutional Review Boards (IRB) – Principal Investigator Records  Records relating to investigator activities in human subject research.  Includes, but is not limited to:   * Documentation of uses and disclosures; * Authorization/consent forms; * Business partner contracts; * Notices of practice; * Responses to requests to amend or correct information; * Client statements of disagreements and complaints.   Excludes records relating to **grants administration** covered in CORE – Financial Management. | **Retain** for 6 years after completion of research  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE2011-071  Rev. 0 | Institutional Review Boards (IRB) – Research Conducted  IRB records which relate to specific research conducted or that document decisions pertaining to committee actions on research conducted.  Includes, but is not limited to:   * Correspondence between the IRB and investigators/researchers; * Progress reports provided to IRB; * Reports of unanticipated problems involving risks to subjects or others; * Injury reports; * Significant new findings provided to subjects.   Excludes records relating to **grants administration** covered in CORE – Financial Management.  Note: 45 CFR 46.115(b) requires the retention of records relating to research conducted for three years after completion of the research. | **Retain** for 3 years after completion/termination of research  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

2. VITAL RECORDS MANAGEMENT

The function of managing vital records created by the agency.

| * 1. CERTIFICATION   The activity of certifying vital events. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HE55-01F-01  Rev. 1 | Birth/Death Certificate Affidavits of Correction  Affidavits related to requests received for the correction of information appearing on a birth or death record, including any attached original certificates or certificate copies. | **Retain** for 1 year after transmitted to Department of Health  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE55-01F-03  Rev. 1 | Birth/Death Certificates – 1907 and Later  Original birth certificates issued by the agency for live births, deaths, or fetal deaths in the local health jurisdiction. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HE2011-072  Rev. 0 | Certificate Request Logs  Logs documenting requests received by the agency for birth, death, or other vital records certificates. | **Retain** for 2 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01F-02  Rev. 1 | Certificate Requests  Formal requests received for certified copies of birth or death certificates, or other vital records. | **Retain** for 2 years after date of request  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE55-01F-08  Rev. 1 | Indexes to Vital Records  Indexes and other finding aids used to access vital records created by the agency, such as birth or death certificates. | **Retain** until the archival records are transferred to Washington State Archives  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

1. LEGACY RECORDS

This section covers records no longer being created/received by the agency, but the existing records have not yet reached their minimum retention period.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| HE55-01G-02  Rev. 1 | High Priority Infant Tracking Sheets  Records relating to the tracking of high risk infants as part of Washington State’s non-operational High Priority Infant Tracking Project. | **Retain** for 8 years after close of file  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HE55-01G-04  Rev. 1 | Passport Program Interagency Work Orders  Records relating to work orders requesting healthcare assessments for Department of Social and Health Services foster children as part of the Passport Program. | **Retain** for 5 years after expiration of work order  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HE2011-073  Rev. 0 | Birth/Death Certificates – Pre-1907  Records relating to birth or death certificates issued by the agency prior to 1907. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

GLOSSARY

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| --- |
| ***Appraisal*** |
| The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records. |
| ***Archival (Appraisal Required)*** |
| Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met. |
| ***Archival (Permanent Retention)*** |
| Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation. |
| ***Disposition*** |
| Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction. |
| ***Disposition Authority Number (DAN)*** |
| Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series. |
| ***Essential Records*** |
| Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster. Security backups of these public records should be created and may be deposited with the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records. |
| ***Local Records Committee*** |
| Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee’s three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor. |
| ***Non-Archival*** |
| Designation given to public records that do not possess sufficient historical value to be designated as “Archival.” Agencies must retain these records for the minimum retention period specified by the appropriate current records retention schedule. Agencies should destroy these records after their minimum retention period expires, provided the records are not required for litigation, public records requests, or other purposes required by law. |
| ***Non-Essential Records*** |
| Public records which are not required in order for an agency to resume its core functions following a disaster, as described in chapter 40.10 RCW. |
| ***OFM (Office Files and Memoranda)*** |
| Public records not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda. |
| ***OPR (Official Public Records)*** |
| Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records. |
| ***Public Records*** |
| Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics. |
| ***Records Series*** |
| A group of records performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type or a number of different types of documents that are filed together to document a specific function. |
| ***State Records Committee*** |
| Committee established by RCW 40.14.050 to review and approve disposition of state government records. Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management. |

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