**This schedule applies to: Public Hospital Districts**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of Public Hospital Districts relating to the functions of agency management, asset and infrastructure management, financial management, health care and treatment, laboratory and pathology management, patient/client account management, pharmacy, and research. The schedule 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 (regardless of format) 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 December 6, 2023.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Signature on File* |  | *Signature on File* |  | *Signature on File* |
| **For the State Auditor: Al Rose** |  | **For the Attorney General: Matt Kernutt** |  | **The State Archivist: Heather Hirotaka** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | 1980s | Initial version. | |
| 2.0 | 1999 | Major revision. | |
| 3.0 | 2001 | Major revision and update. | |
| 4.0 | March 26, 2009 | Record 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 Public Hospital Districts Records Retention Schedule now begin with the prefix “HO”; there have been no changes to titles, descriptions, retention periods, or archival designations. | |
| 5.0 | March 31, 2011 | Revision of entire schedule, including series titles, descriptions, retention periods, and archival designations. Entire schedule has been reorganized and restructured. The “Secondary Copy” and “Remarks” columns have been removed and the entire schedule has been reformatted. Record series common to all local government agencies and covered by the Local Government Common Records Retention Schedule (CORE) have been removed. | |
| 5.1 | December 7, 2022 | Minor revisions throughout the schedule. | |
| 5.2 | February 1, 2023 | Minor revisions to the “Asset Management – Inventory” section. | |
| 5.3 | December 6, 2023 | Minor revisions throughout the schedule. | |

For assistance and advice in applying this records retention schedule,

please contact the Public Hospital District’s Records Officer

or Washington State Archives at:

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

**TABLE OF CONTENTS**

[1. AGENCY ADMINISTRATION AND MANAGEMENT 5](#_Toc150159388)

[1.1 COMMUNITY AND EXTERNAL RELATIONS 5](#_Toc150159389)

[2. ASSET MANAGEMENT 6](#_Toc150159390)

[2.1 ACQUISITION AND DISPOSAL 6](#_Toc150159391)

[2.2 INVENTORY 8](#_Toc150159392)

[2.3 LEASING/USAGE 9](#_Toc150159393)

[2.4 MAINTENANCE, INSPECTION, AND MONITORING 10](#_Toc150159394)

[3. HEALTH CARE AND TREATMENT 15](#_Toc150159395)

[3.1 DIAGNOSTIC AND MEDICAL IMAGING 15](#_Toc150159396)

[3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT 18](#_Toc150159397)

[3.3 PATIENT ADMINISTRATION 21](#_Toc150159398)

[3.4 PATIENT BILLING 23](#_Toc150159399)

[3.5 PATIENT MEDICAL RECORDS 25](#_Toc150159400)

[3.6 RADIATION PROTECTION PROGRAM 28](#_Toc150159401)

[4. HOSPITAL SUPPORT SERVICES 34](#_Toc150159402)

[4.1 FOOD SERVICES 34](#_Toc150159403)

[4.2 QUALITY ASSURANCE AND COMPLIANCE 35](#_Toc150159404)

[4.3 REPORTING 39](#_Toc150159405)

[5. HUMAN RESOURCE MANAGEMENT 40](#_Toc150159406)

[5.1 PERFORMANCE MANAGEMENT 40](#_Toc150159407)

[5.2 PERSONNEL 41](#_Toc150159408)

[5.3 STAFF DEVELOPMENT/TRAINING 42](#_Toc150159409)

[6. LABORATORY AND PATHOLOGY MANAGEMENT 43](#_Toc150159410)

[6.1 LABORATORY (GENERAL) 43](#_Toc150159411)

[6.2 BLOOD/TISSUE BANKS 49](#_Toc150159412)

[6.3 CYTOGENETICS 51](#_Toc150159413)

[6.4 FORENSIC PATHOLOGY 52](#_Toc150159414)

[7. PHARMACY MANAGEMENT 54](#_Toc150159415)

[7.1 ADMINISTRATION 54](#_Toc150159416)

[7.2 DRUG ACCOUNTABILITY 56](#_Toc150159417)

[7.3 QUALITY ASSURANCE AND CONTROL 58](#_Toc150159418)

[8. RESEARCH MANAGEMENT 61](#_Toc150159419)

[8.1 CLINICAL TRIALS 61](#_Toc150159420)

[8.2 DIAGNOSTIC RESEARCH 66](#_Toc150159421)

[8.3 INSTITUTIONAL REVIEW BOARDS 67](#_Toc150159422)

[glossary 69](#_Toc150159423)

[INDEXES 71](#_Toc150159424)

1. AGENCY ADMINISTRATION AND MANAGEMENT

This section includes records relating to agency administration and management that are either not covered by or are exceptions to the *Local Government Common Records Retention Schedule (CORE).*

| * 1. COMMUNITY AND EXTERNAL RELATIONS   This section includes records relating to community and external relations that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE). | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03V-04  Rev. 2 | ***Patient Relations***  Records relating to the agency’s interactions with patients or their representatives, such as inquiries, complaints, and grievances.  Includes, but is not limited to:   * Inquiries/complaints/grievances received; * Documentation of agency response(s).   Excludes records covered by *Health Insurance Portability and Accountability Act (H.I.P.A.A) – Complaints (DAN HO2011-112)*. | **Retain** for 8 years after inquiry/complaint/grievance  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

1. ASSET MANAGEMENT

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

| * 1. ACQUISITION AND DISPOSAL   This section includes records relating to acquisition and disposal of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE). | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03L-10  Rev. 2 | ***Acceptance Testing***  Records relating to purchase specifications and acceptance testing of diagnostic radiology equipment in accordance with 21 CFR 1000.55.  *Note: Retention based on purchase specification and records of acceptance testing throughout the life of the equipment in accordance with 21 CFR 1000.55(c)(2)*. | **Retain** until disposition of equipment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-075  Rev. 1 | ***Decay – Strontium-90***  Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, in accordance with WAC 246-240-272.  *Note: Retention based on requirement for records relating to the activity of strontium-90 sources used for ophthalmic treatments to be kept for the life of the source (WAC 246-240-602)*. | **Retain** for the life of the source  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-074  Rev. 1 | ***Decay In Storage***  Records relating to the disposal of radioactive materials due to decay in storage in accordance with WAC 246-240-128.  *Note: Retention based on 3-year requirement relating to the disposal of decay-in-storage radioactive materials (WAC 246-240-584)*. | **Retain** for 3 years after date of final disposal  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-07  Rev. 2 | ***Radioactive Material – Disposal***  Records relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil.  *Note: Retention based on requirement for records relating to disposal of radioactive material be kept until termination of pertinent license or registration (WAC 246-221-230(8)(a))*. | **Retain** until termination of last pertinent license or registration  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. INVENTORY   This section includes records relating to inventory of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE). | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03O-14  Rev. 3 | ***Mechanical Floor Stock Devices – Drug Removal***  Records relating to the removal of drugs from mechanical floor stock devices. | **Retain** for 2 years after date of drug removal  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-08  Rev. 2 | ***Radiation Material – Acquisition/Transfer***  Records relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material.  *Note: Retention based on 3-year requirement in accordance with 10 CFR 30.51(a)(1) and (2)*. | **Retain** for 3 years after disposal/transfer  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-076  Rev. 1 | ***Radiation Source Inventories***  Records relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572.  *Note: Retention based on 3-year requirement for records relating to physical inventories of sealed sources and brachytherapy sources (WAC 246-240-572).* | **Retain** for 3 years after date of inventory  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. LEASING/USAGE   The activity of acquiring or granting temporary authority to use goods, materials, or resources. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03X-01  Rev. 2 | ***In-Home Equipment***  Records relating to the provision and maintenance of hospital-owned equipment used in patient residences.  *Note: Retention based on 8-year statute of limitations for injuries resulting from health care (RCW 4.16.350).* | **Retain** for 8 years after equipment has been removed from patient residence  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. MAINTENANCE, INSPECTION, AND MONITORING   This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE). | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-077  Rev. 1 | ***Calibration – Brachytherapy Sources***  Records relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269.  *Note: Retention based on 3-year requirement for records relating to the calibration of brachytherapy sources before medical use (WAC 246-240-599).* | **Retain** for 3 years after last use of source  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-078  Rev. 1 | ***Calibration – Dosimetry Equipment***  Records relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366.  *Note: Retention based on requirements for records to be kept for the duration of the authorized user’s license (WAC 246-240-611).* | **Retain** for the duration of authorized user’s license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-66  Rev. 1 | ***Calibration Expert Evaluations***  Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital. | **Retain** for 5 years after expert’s performance of last full calibration  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-19  Rev. 1 | ***Calibration Instructions – Image Receptors***  Records relating to calibration instructions for image receptor equipment. | **Retain** until disposition of image receptor  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03L-20  Rev. 2 | ***Equipment Calibration and Testing***  Records relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material, ***where not covered by a more specific record series***.  Includes, but is not limited to:   * Calibration of instruments used for quantitative radiation measurements in accordance with WAC 246-221-110(20); * Calibration of survey instruments in accordance with WAC 246-240-104; * Calibration of teletherapy units, remote afterloader units, and gamma stereotactic units in accordance with WAC 246-240-369; * Calibration of instruments used to measure the activity of unsealed radioactive material in accordance with WAC 246-240-101; * Records relating to testing of high radiation entry control devices in accordance with WAC 246-221-106(3).   *Note: Retention based on 3-year requirement for records relating to survey instrument calibration (WAC246-240-566); of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations (WAC 246-240-614); and for records relating to each calibration of instruments used to measure the activity of unsealed radioactive material (WAC 246-240-563).* | **Retain** for 3 years after date of calibration/test  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03C-01  Rev. 2 | ***Equipment Sterilization/Infection Control***  Records relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use.  Excludes records covered by *Sterilizer Spore Tests (DAN HO2011-081)*. | **Retain** for 8 years after date of sterilization  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-079  Rev. 0 | ***Instructions – Manufacturer***  Instructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a). | **Retain** for duration of source use  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-080  Rev. 1 | ***Instructions/Procedures – Radiation Protection***  Written procedures, safety instructions, and/or operating procedures for remote afterloader units, teletherapy units, and/or gamma stereotactic radiosurgery units as described in WACs 246-240-360(1)(d) and 246-240-360(4)(b).  *Note: Retention based on requirement for records relating to written procedures, safety instructions, and operating procedures for remote afterloader units, teletherapy units, and gamma stereotactic radiosurgery units be kept until disposition of the unit (WAC 246-240-608).* | **Retain** for 3 years after disposition of equipment  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03L-46  Rev. 2 | ***Radiation Machine Registrations***  Records relating to the registration of radiation machines with the Department of Health in accordance with chapter 246-224 WAC. | **Retain** for 6 years after termination of registration  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-081  Rev. 1 | ***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 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 |
| HO2011-082  Rev. 1 | ***Surveys – Treatment Equipment***  Records relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390.  *Note: Retention based on requirement for records relating to radiation surveys of treatment units for the duration of use of the unit (WAC 246-240-629).* | **Retain** for the duration of the use of the treatment unit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-64  Rev. 1 | ***Teletherapy Calibration Calculations***  Records relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy. | **Retain** until termination of equipment license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-69  Rev. 2 | ***Teletherapy Five-Year/Source Replacement Inspections***  Records relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393.  *Note: Retention based on requirement for records relating to five-year inspections for teletherapy and gamma stereotactic radiosurgery units be kept for the duration of use of the unit (WAC 246-240-632)*. | **Retain** for the duration of the use of the unit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-68  Rev. 2 | ***Teletherapy Source Installation Surveys***  Records relating to radiation surveys of teletherapy sources prior to medical use and/or after each installation of a teletherapy source in accordance with 10 CFR 35.2605.  *Note: Retention based on requirements for records relating to teletherapy source installation radiation measurements be kept for the duration of the license in accordance with 10 CFR 35.2605.* | **Retain** until termination of equipment license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-083  Rev. 1 | ***X-Ray/Electron Therapy Spot Checks***  Records relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130.  *Note: Retention based on requirements for records relating to spot checks of x-ray and electron therapy spot checks to be kept for one year or for twice as long as the spot check cycle, whichever is greater (WAC 246-225-130(2)(u)(iii)(H)).* | **Retain** for 1 year after completion of spot check  *and*  for twice as long as spot check cycle  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. HEALTH CARE AND TREATMENT

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

| * 1. DIAGNOSTIC AND MEDICAL IMAGING   The activity of imaging the human body for clinical assessment and/or diagnosis. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03S-01  Rev. 2 | ***Diagnostic Images – Age 18 and Older***  Records relating to tests, assessments, or examinations performed on patients age 18 or older in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.  Includes, but is not limited to:   * Echocardiographs and electroencephalograms; * Evoked potential tests; * Fetal monitoring strips; * Hematology and cytology reports; * Nuclear images; * X-rays and roentgenograms.   Excludes:   * Graphs/tracings/images and physician’s interpretive reports that are part of the patient medical record covered by *Patient Medical Records – Age 18 and Over (DAN HO55-03I-07)*; * Records covered by *Mammography Films (DAN HO2011-085)*. | **Retain** for 10 years after date of test or assessment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-084  Rev. 1 | ***Diagnostic Images – Under Age 18***  Records relating to tests, assessments, or examinations performed on patients under age 18 in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.  Includes, but is not limited to:   * Echocardiographs and electroencephalograms; * Evoked potential tests; * Fetal monitoring strips; * Hematology and cytology reports; * Nuclear images; * X-rays and roentgenograms.   Excludes:   * Graphs/tracings/images and physician’s interpretative reports that are part of the patient medical record covered by *Patient Medical Records – Under Age 18 (DAN HO2011-101)*; * Records covered by *Mammography Films (DAN HO2011-085)*. | **Retain** for 8 years after individual reaches age 18  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-085  Rev. 1 | ***Mammography Films***  Patient mammography films crated by the agency.  Excludes records covered by:   * *Patient Medical Records – Age 18 and Over (DAN HO55-03I-07);* * *Patient Medical Records – Under Age 18 (DAN HO2011-101)*; * *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)*.   *Note: Retention based on requirements relating to mammogram film records set by the* *Mammography Quality Standards Act (MQSA) Title 42, Chapter 6A, Subchapter II, Part F, subpart 3 (f)(G)(i)(I)*. | **Retain** for 5 years after date of mammogram  *and*  10 years after patient’s last mammogram performed at the facility  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-086  Rev. 1 | ***Radiologic Reports***  Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images.  Excludes records covered by:   * *Patient Medical Records – Age 18 and Over (DAN HO55-03I-07);* * *Patient Medical Records – Under Age 18 (DAN HO2011-101)*; * *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)*.   *Note: Retention based on 5-year requirements for radiologic reports and printouts in accordance with 42 CFR 482.26(d)(2).* | **Retain** for 5 years after date of report/printout  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. LONG TERM CARE/NURSING FACILITY MANAGEMENT   The activity of managing long term care or nursing home programs and facilities. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-087  Rev. 1 | ***Drug Logs – Therapeutic Leave***  Logs documenting the provision of prescription drugs to residents for consumption during leave away from the long term care/nursing facility. | **Retain** for 8 years after date of last entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03R-04  Rev. 2 | ***Emergency Kit Drugs***  Records relating to the receipt and removal of drugs in emergency kits maintained by long term care/nursing facilities. | **Retain** for 6 years after date of receipt/removal  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-088  Rev. 1 | ***Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over***  Records created by nursing home facilities on a per-patient basis which document services provided to patients age 18 and over.  Excludes records covered by *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)* made in the final year of retention.  *Note: Retention based on minimum 8-year following most recent discharge requirement for all records relating directly to the care and treatment of adults in accordance with RCW 18.51.300*. | **Retain** for 8 years after last discharge  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HO2011-089  Rev. 1 | ***Long Term Care/Nursing Home Resident Medical Records – Under Age 18***  Records created by long term care facilities on a per-patient basis which document services provided to patients under age 18.  Excludes records covered by *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)* made in the final year of retention.  *Note: Retention based on the requirement nursing homes retain all records relating directly to the care and treatment of minors for no fewer than three years after reaching age of eighteen years, or ten years following such discharge, whichever is longer in accordance with RCW 18.51.300.* | **Retain** for 10 years after last discharge  *and*  3 years after individual reaches age 18  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HO55-03R-06  Rev. 1 | ***Persons Seeking Admission***  Records relating to individuals on waiting lists for admission to the long term care/nursing facility in accordance with WAC 388-97-0040(6), but who have not yet been admitted. | **Retain** for 1 year after date of last activity  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-090  Rev. 1 | ***Resident Administration***  Records documenting summary patient information pertinent to the administration of long term care/nursing services, such as information relating to resident identification, family contacts, and financial details (i.e. “face sheets”).  Excludes patient records covered by:   * *Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over (DANHO2011-088)*; * *Long Term Care/Nursing Home Resident Medical Records – Under Age 18 (DAN HO2011-089)*. | **Retain** for 1 year after death/discharge of resident  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-091  Rev. 2 | ***Resident Censuses***  Records documenting census information and statistics about long term care/nursing residents. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OFM |
| HO2011-092  Rev. 0 | ***Resident In/Out Logs***  Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility. | **Retain** for 3 years after last entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PATIENT ADMINISTRATION   The activity of administering health care and treatment services provided for patients. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03B-02  Rev. 1 | ***Master Patient Index***  Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital.  *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 |
| HO55-03I-02  Rev. 1 | ***Maternity Registers***  Registers of maternity cases at the hospital. | **Retain** for 3 years after date of entry  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OFM |
| HO55-03M-01  Rev. 3 | ***Operative Indexes***  Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information.  *Note: Retention based on 10-year recommendation for operative indexes by the American Health Information Management Association (AHIMA).* | **Retain** for 10 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03B-03  Rev. 1 | ***Patient Property***  Records documenting property recovered from patients who are admitted into the hospital. | **Retain** for 3 years after patient discharge  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-093  Rev. 0 | ***Operative Scheduling/Assignments***  Records relating to the scheduling and assignment of staff, equipment, or other medical resources for pre-operative, operative, or post-operative procedures performed by the hospital and/or its ancillary departments (e.g. perioperative services).  Includes, but is not limited to:   * Anesthesia/activity logs; * Equipment schedules; * Medical, nursing, anesthesia, and support schedules; * Perfusion records. | **Retain** for 8 years after date of operation  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-094  Rev. 0 | ***Referrals – To the Agency***  Pre-admission records relating to patients referred to the agency by outside providers. | **Retain** until no longer needed for agency business  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-094  Rev. 0 | ***Referrals – Outside the Agency***  Records relating to agency referrals of patients to non-agency providers. | **Retain** for 2 years after date of receipt  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PATIENT BILLING   The activity of billing patients for services provided by the hospital or its ancillary departments. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03Q-04  Rev. 1 | ***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 |
| HO2011-096  Rev. 0 | ***Cost/Fee Sheets***  Records documenting services or procedures provided to patients and necessary coding or billing information associated with services provided. | **Retain** for 6 years after date service provided  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-097  Rev. 0 | ***Patient Billing and Financial Assistance***  Records relating to the billing of insurance and third party payers for the provision of medical services.  Includes, but is not limited to:   * Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.); * Medicaid/Medicare billing and reimbursements; * Patient refunds. | **Retain** for 6 years after final account activity  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-098  Rev. 0 | ***Uncompensated Care – Compliance***  Records documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510 (b).  Includes, but is not limited to:   * Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 24 CFR 124.510(a)(i)); * Accounts which clearly segregate uncompensated services from other accounts; * Copies of written determinations of eligibility under 42 CFR Part 124.507. | **Retain** for 3 years after report submitted to Health and Human Services  *or*  180 days after close of Health and Human Services investigation, whichever is longer  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. PATIENT MEDICAL RECORDS   The activity of managing documentation relating to the assessment and treatment of patients. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-099  Rev. 1 | ***Counseling***  Records relating to the provision of mental health counseling and services on a per-patient basis by a licensed mental health counselor.  Includes, but is not limited to:   * Counseling notes and summaries; * Prescriptions.   Excludes records covered by *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)* made in the final year of retention.  *Note: Retention based on 5-year requirement for all records relating to counseling services billed to a third-party payer following patient’s last visit (WAC 246-806-035(4)).* | **Retain** for 5 years after the patient’s last visit  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HO55-03L-25  Rev. 1 | ***Interpretation Requests***  Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations. | **Retain** until added to the patient’s medical record  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-100  Rev. 1 | ***Organ Transplants***  Records relating to the transplantation of organs, including records relating to potential donors, organs retrieved/received, transplant recipients, and other transplant-related matters.  Excludes records covered by:   * *Patient Medical Records – Age 18 and Over (DAN HO55-03I-07);* * *Patient Medical Records – Under Age 18 (DAN HO2011-101*).   *Note: Retention based on 7-year requirement for records relating to organ transplants in accordance with 42 CFR 121.11(a)(2).* | **Retain** for 7 years after date of transplant procedure  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03I-07  Rev. 2 | ***Patient Medical Records – Age 18 and Over***  Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients age 18 and over.  Includes, but is not limited to:   * Diagnostic, medical, and/or imaging reports or interpretations; * Medication administration records; * Patient treatment history; * Psychology and psychiatric notes and summaries, and psychotherapy notes.   Excludes records covered by *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)* made in the final year of retention. | **Retain** for 10 years after last provision of health-related services  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-101  Rev. 1 | ***Patient Medical Records – Under Age 18***  Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients under age 18.  Includes, but is not limited to:   * Diagnostic, medical, and/or imaging reports or interpretations; * Medication administration records; * Patient treatment history; * Psychology and psychiatric notes and summaries, and psychotherapy notes.   Excludes records covered by *Patient Medical Records – Disclosure Authorized (DAN HO2011-102)* made in the final year of retention. | **Retain** for 10 years after last provision of health-related services  *and*  3 years after individual reaches age 18  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-102  Rev. 1 | ***Patient Medical Records – Disclosure Authorized***  Patient medical records for which a disclosure has been authorized in accordance with RCW 70.02.040.  *Note: Retention based on requirement for existing health care information to be retained one year following receipt of an authorization to disclose 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 |

| * 1. RADIATION PROTECTION PROGRAM   The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-103  Rev. 1 | ***Brachytherapy Source Accountability***  Records documenting information pertinent to licensees’ accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260.  Includes, but is not limited to documentation of:   * Number and activity of sources removed from storage, time and date removed from storage, name(s) of individuals removing them from storage, and location(s) of use; * Number and activity of sources not implanted or returned to storage, time and date they were returned to storage, and name(s) of individuals who returned them to storage; * Number and activity of sources permanently implanted in the patient or human research subject.   *Note: Retention based on 3-year requirement after disposal of source for records documenting licensees’ accountability for brachytherapy sources (WAC 246-240-596).* | **Retain** for 3 years after disposal of source  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-58  Rev. 1 | ***Byproduct Misadministration***  Records relating to the misadministration of byproduct material or radiation from byproduct material.  Includes, but is not limited to:   * Doses that differ from the prescribed dose by twenty percent or more; * Doses that exceed dose equivalents; * Doses to skin, an organ, or tissue other than the treatment site. | **Retain** for 8 years after date of event  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-39  Rev. 1 | ***Occupational and Public Dose/Exposure – Reports***  Records relating to activities, program reviews, measurements, and calculations which may be necessary to determine the extent of occupational and/or public exposure from sources of radiation as required in WAC 246-221-230.  Includes, but is not limited to:   * Records on Department of Health Form RHF-5 or RHF-5A, or equivalent, of doses received by all individuals for whom monitoring is required pursuant to WAC 246-221-090 and/or 246-221-100; * Records of doses received during planned special exposures, accidents, and/or emergency conditions; * Specific information used to calculate the committed effective dose equivalent pursuant to WAC 246-221-040(3); * Results of surveys to determine the dose from external sources of radiation used in the absence of, or in combination with, individual monitoring data, in the assessment of individual dose equivalents; * Results of measurements and calculations used to determine individual intakes of radioactive material used in the assessment of internal dose; * Records showing results of air sampling, surveys, and bioassays required pursuant to WAC 246-221-117; * Results of measurements and calculations used to evaluate the release of radioactive effluents to the environment. | **Retain** for 30 years after termination of last pertinent license or registration  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-37  Rev. 2 | ***Occupational and Public Dose/Exposure – Working Files***  Records used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent as required in WAC 246-221-230(9)(b).  *Note: Retention based on 3-year requirement after date of document for public dose/exposure working files (WAC 246-221-230(9)).* | **Retain** for 3 years after completion of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-104  Rev. 1 | ***Patient Releases – Radiation***  Records relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122.  *Note: Retention based on 3-year requirement of records relating to the release of individuals containing unsealed radioactive material or implant (WAC 246-240-578).* | **Retain** for 3 years after patient release  *then*  **Destroy.** | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-105  Rev. 0 | ***Program Approvals/Changes***  Records relating to management approvals of radiation program licensing, workers, or program changes in accordance with WAC 246-240-551 or WAC 246-240-554. | **Retain** for 5 years after date of document/approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-42  Rev. 2 | ***Public Dose Limit Compliance***  Records documenting compliance with public dose limits for individuals as required by WAC 246-221-060(4).  *Note: Retention based on requirements for records documenting compliance with public dose limits for individuals in accordance with WAC 246-221-230(8)(b).* | **Retain** until termination of last pertinent license or registration  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-43  Rev. 1 | ***Radiation Doses***  Records relating to the administration of radiation doses for which written directives are required. | **Retain** for 3 years after administration of dose then  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-56  Rev. 1 | ***Radiopharmaceutical Assays***  Records relating to assays of radiopharmaceuticals. | **Retain** for 2 years after date of assay  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03L-03  Rev. 1 | ***Source Surveys and Tests***  Records relating to the survey and/or testing of byproduct sources or byproduct dose sources.  Includes, but is not limited to:   * Surveys of implanted brachytherapy sources in accordance with 10 CFR 35.406(d); * Byproduct dose activity measurements performed in accordance with WAC 246-240-107; * Leak test records of sealed or brachytherapy sources performed in accordance with WAC 246-240-113(1); * Radiopharmaceutical concentration testing of molybdenum-99, strontium-82, and/or strontium-85 in accordance with WAC 246-240-160. | **Retain** for 3 years after date of survey/measurement  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03L-30  Rev. 1 | ***Surveys – General***  Records relating to radiation surveys performed to evaluate the radiological conditions and potential hazards incident to the production, use, release, disposal, or presence of radiation sources.  Includes, but is not limited to:   * Ambient radiation exposure surveys performed in accordance with WAC 246- 240-119; * General surveys as required by WAC 246-221-110 and/or 246-220-040; * Hot lab surveys; * Mobile medical services surveys performed in accordance with WAC 246-240- 125(1)(b) and/or 246-240-125(1)(d); * Mobile nuclear medicine surveys; * Package surveys as required in WAC 246-221-160; * Surveys of patients, human research subjects, and/or remote afterloader units in accordance with WAC 246-240-354 prior to patient release to confirm that the radiation source(s) has been removed from the patient or subject and returned to the safe shielded position; * Working reception surveys. | **Retain** for 3 years after date of survey  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-106  Rev. 1 | ***Written Directives – Authorizations***  Written directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060.  *Note: Retention based on 3-year requirement of written directives for the administration of radioactive materials (WAC 246-240-557).* | **Retain** for 3 years after date of directive  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-107  Rev. 0 | ***Written Directives – Doses***  Records relating to the administration of radiation doses for which written directives are required. | **Retain** for 3 years after administration of dose  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-108  Rev. 1 | ***Written Directives – Procedures***  Procedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063.  *Note: Retention based on procedures for any administration of radioactive material requiring a written directive for the duration of the authorized user’s license in accordance with WAC 246-240-560.* | **Retain** for the duration of the authorized user’s license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. HOSPITAL SUPPORT SERVICES

The function of providing services which support the primary mission of the public hospital.

| * 1. FOOD SERVICES   The activity of providing food services for patients, staff, and the public. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03D-03  Rev. 1 | ***Meal Counts***  Records documenting the number of meals provided to patients. | **Retain** for 3 years after date meals distributed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03D-04  Rev. 2 | ***Menus – Cafeteria***  Records relating to menus for hospital cafeterias. | **Retain** for 1 year after last date menu was offered  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03D-06  Rev. 1 | ***Menus – Patient***  Records relating to menus for food offered to hospital patients. | **Retain** for 3 years after last date menu was offered  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-109  Rev. 1 | ***Patient Meals***  Records relating to individual, patient-specific dietary orders or requests used by kitchen staff during meal preparation (e.g. patient diet cards).  Excludes records covered by:   * *Patient Medical Records – Age 18 and Over (DAN HO55-03I-07)*; * *Patient Medical Records – Under Age 18 (DAN HO2011-101*). | **Retain** for 3 years after provision of meal  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. QUALITY ASSURANCE AND COMPLIANCE   The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-110  Rev. 0 | ***Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Accountings of Disclosure***  Records relating to patient requests for access or amendment to protected health information, and/or accountings of disclosure.  Includes, but is not limited to:   * Requests to inspect or obtain copies of any protected health information; * Documentation of patients amending their records, and/or requests for corrections; * Records relating to disclosures of protected health information*.* | **Retain** for 6 years after date of disclosure  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-111  Rev. 0 | ***Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information***  Records relating to changes or corrections made by the covered entity to an individual’s protected health information. | **Retain** until destruction of protected health information subject to change(s)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-112  Rev. 0 | ***Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Complaints***  Records relating to internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency.  Includes, but is not limited to:   * Complaints received regardless of format or media; * Background/research materials pertaining to complaints received; * Agency responses to complaints; * Complaint logs*.* | **Retain** for 6 years after final resolution  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-113  Rev. 0 | ***Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Sanctions to Workers***  Records relating to sanctions applied to workers for non-compliance with privacy policies and/or practices. | **Retain** for 6 years after fulfillment of sanction  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-114  Rev. 0 | ***Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Training***  Records documenting the curriculum, materials, and/or planning of privacy/HIPAA training programs provided by the agency.  Includes, but is not limited to:   * Training development records; * Training handouts, worksheets, etc.; * Presentations used for HIPAA training purposes. | **Retain** for 6 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-115  Rev. 1 | ***Medical Staff Credentialing/Privileging***  Records relating to reviews of practitioners’ qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation.  Excludes personnel records covered by *Employee Work History (DAN GS50-04B-06)*.  *Note: Retention based on requirements of records relating to decisions to restrict or terminate privileges of practitioners in accordance with RCW 70.41.220.* | **Retain** for 8 years after termination of employment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03Q-01  Rev. 2 | ***Patient Accident/Incident Reports – No Claim Filed (Age 18 and Older)***  Records relating to accidents/incidents involving patients age 18 or 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)*. | **Retain** for 8 years after date of accident/injury  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-116  Rev. 1 | ***Patient Accident/Incident Reports – No Claim Filed (Under Age 18)***  Records relating to accidents/incidents involving patients 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)*. | **Retain** for 8 years after injury/accident  *and*  8 years after juvenile reaches age 18  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-47  Rev. 2 | ***Radiation Protection Program Audits and Reviews***  Records relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005.  *Note: Retention based on 3-year requirement of radiation protection program audits and review records (10 CFR 20.2102).* | **Retain** for 3 years after completion of audit/review  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-117  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. REPORTING   The activity of reporting information to external agencies or organizations. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-118  Rev. 0 | ***Baptismal Registries***  Logs or registries documenting baptisms performed in the hospital. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HO2011-119  Rev. 0 | ***Birth/Death Registers***  Registers documenting summary information about births or deaths which have occurred in the hospital. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HO2011-120  Rev. 0 | ***Vital Statistics Supporting Documentation***  Records relating to the reporting of vital events/statistics to the Washington State Department of Health. | **Retain** for 1 year after vital event reported to Washington State Department of Health  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. HUMAN RESOURCE MANAGEMENT

This section includes records relating to human resource management that are either not covered by or are exceptions to 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** |
| HO2011-121  Rev. 2 | ***Staff Plans/Schedules***  Records relating to staff plans and schedules for nurses, social workers, and/or other medical staff.  Excludes physician call schedules covered by *Physician Call Schedules (DAN HO55-03E-02)*. | **Retain** until completion of Joint Commission audit  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03E-02  Rev. 2 | ***Physician Call Schedules***  Schedules documenting on-call schedules for hospital physicians.  Excludes staff plans/schedules covered by *Staff Plans/Schedules (DAN HO2011-121)*.  *Note: Retention based on requirements for physician on-call schedules to be kept in accordance with 42 CFR 489.20(r)(1-3).* | **Retain** for 5 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-122  Rev. 1 | ***Radiation Safety Officer***  Records relating to the authority, duties, and responsibilities of the radiation safety officer.  *Note: Retention based on requirements for records relating to the authority, duties, and responsibilities of radiation safety offices be kept until termination/expiration of medical use license (WAC 246-240-551(2)).* | **Retain** until termination/expiration of medical use license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PERSONNEL   The activity of documenting an individual’s employment with the local government agency. Includes volunteers. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-123  Rev. 1 | ***Blood/Tissue Bank Employees***  Quality assurance and training records relating to blood/tissue bank employees.  Excludes personnel files covered by *Employee Work History (DAN GS50-04B-06)*.  *Note: Retention based on 10-year recommendation by the College of American Pathologists for blood bank records relating to employees.* | **Retain** for 10 years after termination of employment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. STAFF DEVELOPMENT/TRAINING   The activity of enhancing employees’ competencies and skills through programs and training. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03L-61  Rev. 2 | ***Instruction/Training – Occupational Doses***  Records relating to the provision of instruction on occupational radiation doses for employees who work in radiation areas for which notification of destruction eligibility has been received from the Department of Health.  *Note: Retention based on requirement of records relating to worker receipt of instruction regarding occupational doses of radiation be kept until further notice from Washington State Department of Health, in accordance with WAC 246-222-030(2).* | **Retain** until no longer needed for agency business  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-63  Rev. 2 | ***Instruction/Training – Radiation Protection***  Records documenting the provision of safety instruction to personnel who operate remote afterloader units, teletherapy units, or gamma stereotactic radiosurgery units in accordance with WAC 246-240-204, 246-240-263, or 246-240-360, or who care for patients receiving brachytherapy, radiopharmaceutical therapy, and/or teletherapy.  *Note: Retention based on 3-year requirement of records of safety instruction (WAC 246-240-590).* | **Retain** for 3 years after date instruction competed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03L-06  Rev. 1 | ***Medical Use Licenses***  Records relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11.  Includes, but is not limited to:   * Byproduct material medical use licenses; * Radioactive materials general and specific licenses. | **Retain** for 8 years after termination of employment  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

1. LABORATORY AND PATHOLOGY MANAGEMENT

The function of providing laboratory and pathology services for the assessment and diagnosis of illness, disease, and death.

*Note: For the retention of laboratory and/or pathology specimens, Washington State Archives recommends agencies refer to the retention guidelines issued by the College of American Pathologists, the Clinical Laboratory Improvement Amendments (CLIA), and applicable state and federal codes and regulations.*

| * 1. LABORATORY (GENERAL)   The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03N-05  Rev. 1 | ***Accession/Test Logs***  Logs documenting specimens received by a laboratory and test(s) ordered and/or performed in accordance with 42 CFR 493.1105.  Excludes laboratory and pathology specimens covered by WAC 246-338-070. | **Retain** for 2 years after date of entry  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-124  Rev. 1 | ***Immunohematology – Non-Transfusion Related***  Records relating to patient testing and quality control for non-transfusion services, including instrument function checks, maintenance, and temperature records.  *Note: Retention based on 2-year requirement of non-transfusion related immunohematology records, in accordance with 42 CFR 493-1105(a)(3)(ii).* | **Retain** for 2 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-125  Rev. 1 | ***Immunohematology – Transfusion Related***  Records relating to patient testing and quality control for transfusion services, including donor processing, compatibility testing, and transfusion reaction investigations.  *Note: Retention based on the requirements of transfusion-related immunohematology records be kept for 5 years after records of processing are completed, or 6 months after the latest expiration data for individual product, whichever is longer, in accordance with 42 CFR 493-1105(a)(3)(ii).* | **Retain** for 5 years after records of processing completed  *and*  6 months after latest expiration date for individual product  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03H-05  Rev. 2 | ***Quality Control and Assurance – Transfusion Services***  Records relating to medical test site quality control programs for transfusion services.  Includes, but is not limited to:   * Performance specifications; * Requisitions; * Instrument documentation; * Specimen identification and tracking records.   Excludes:   * Laboratory specimens covered by WAC 246-338-070; * Records covered by *Quality Control and Assurance – Non-Transfusion Services (DAN HO2011-126*).   *Note: Retention based on 5-year requirement for transfusion services quality control and assurance records (WAC 246-338-070).* | **Retain** for 5 years after conclusion of quality control testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-126  Rev. 1 | ***Quality Control and Assurance – Non-Transfusion Services***  Records relating to quality control programs for non-transfusion services enacted to ensure that accurate test results are reported.  Includes, but is not limited to:   * Performance specifications; * Requisitions; * Instrument documentation; * Specimen identification and tracking records.   Excludes:   * Laboratory specimens covered by WAC 246-338-070; * Records covered by *Quality Control and Assurance – Transfusion Services (DAN HO55-03H-05)*.   *Note: Retention based on 2-year requirement for non-transfusion services quality control and assurance records (WAC 246-338-070).* | **Retain** for 2 years after conclusion of quality control testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-127  Rev. 1 | ***Test Procedures***  Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105.  *Note: Retention based on the 2-year requirement for test procedures by the Clinical Laboratory Improvement Amendments (CLIA) and the College of American Pathologists (WAC 246-338-070).* | **Retain** for 2 years after procedure has been discontinued  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03H-07  Rev. 2 | ***Test Reports – General***  Reports and results for specimens tested or examined by a pathologist, ***where not covered by a more specific records series***.  Excludes records covered by:   * *Test Reports – Pathology (DAN* *HO2011-128*); * *Test Reports – Transfusion Services (DAN HO2011-129)*.   *Note: Retention based on the 2-year requirement by the Clinical Laboratory Improvement Amendments (CLIA) for test reports (WAC 246-338-070).* | **Retain** for 2 years after examination of the slide  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-128  Rev. 1 | ***Test Reports – Pathology***  Final, preliminary, and corrected reports for pathology tests, including cytology, histopathology, and oral pathology reports.  Excludes:   * *Test Reports – General (DAN* *HO55-03H-07)*; * *Test Reports – Transfusion Services (DAN HO2011-129)*.   *Note: Retention based on the 10-year requirement for pathology test reports (WAC 246-338-070).* | **Retain** for 10 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-129  Rev. 1 | ***Test Reports – Transfusion Services***  Reports and results for transfusion-related specimens test/examined by a pathologist.  Excludes records covered by:   * *Test Reports – General (DAN* *HO55-03H-07)*; * *Test Reports – Pathology (DAN* *HO2011-128*).   *Note: Retention based on the 5-year requirement for transfusion services reports (WAC 246-338-070)*. | **Retain** for 5 years after date of report/results  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO2011-130  Rev. 1 | ***Transfusion Services – General Administration***  Records relating to the provision of transfusion services.  Includes, but is not limited to:   * Test requisitions or equivalent; * Test records and reports; * Quality control and assurance.   *Note: Retention based on the 5-year requirement for transfusion services (WAC 246-338-070)*. | **Retain** for 5 years after conclusion of transfusion/testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. BLOOD/TISSUE BANKS   The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-131  Rev. 1 | ***Donors – Deferred***  Records relating to donors who have been indefinitely deferred, permanently deferred, or placed under surveillance for the recipient’s protection.  *Note: Retention based on the indefinite retention for blood bank records relating to indefinitely deferred donors, permanently deferred donors, or donors placed under surveillance by the College of American Pathologists.* | **Retain** for the life of the agency  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-132  Rev. 1 | ***Donors/Recipients – General***  Records documenting health, medical, and other information about donors and recipients.  Includes, but is not limited to:   * Consent information; * Donor/recipient identifying information; * Medical and social history; * Typing and crossmatch information.   *Note: Retention based on the 10-year recommendation by the College of American Pathologists for blood bank records relating to donors and recipients.* | **Retain** for 10 years after final donation/receipt  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-133  Rev. 1 | ***Donors/Recipients – Specimens***  Records relating to specific specimens, including management and tracking, testing and typing, and recipient information.  *Note: Retention based on 7-day recommendation by the College of American Pathologists for blood bank records relating to specimens from blood donors post-transfusion.* | **Retain** for 7 days after transfusion  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-134  Rev. 1 | ***Quality Control (Blood/Tissue Banks)***  Records relating to quality control measures enacted in blood/tissue banks.  *Note: Retention based on 5-year recommendation by the College of American Pathologists for blood bank records relating to quality control.* | **Retain** for 5 years after conclusion of quality control testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. CYTOGENETICS   The activity of conducting cytogenetic analysis to determine diagnosis. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-135  Rev. 1 | ***Diagnostic Images and Final Reports (Cytogenetics)***  Final reports and diagnostic images relating to cytogenetic examinations.  *Note: Retention based on 20-year recommendation by the College of American Pathologists for cytogenetics diagnostic images and final reports.* | **Retain** for 20 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-136  Rev. 1 | ***Gated Dot Plots/Histograms***  Records relating to gated dot plots and histograms used for flow cytometry.  *Note: Retention based on 10-year recommendation by the College of American Pathologists for cytogenetics flow cytometry.* | **Retain** for 10 years after examination  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. FORENSIC PATHOLOGY   The activity of examining corpses to determine cause of death. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-137  Rev. 1 | ***Accession Logs***  Records documenting the receipt and management of specimens received for forensic examination.  *Note: Retention based on recommendation by the College of American Pathologists for forensic autopsy access logs to be kept indefinitely.* | **Retain** for the life of the agency  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| HO2011-138  Rev. 1 | ***Cytology Reports***  Records relating to cytology examinations.  *Note: Retention based on 10-year requirement for cytology reports (WAC 246-338-070).* | **Retain** for 10 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-139  Rev. 1 | ***Gross Injury/Trauma Photographs and Negatives***  Records relating to photographs and/or negatives of gross injuries or trauma.  *Note: Retention based on recommendation by the College of American Pathologists for gross negatives and photographs to be kept indefinitely.* | **Retain** for the life of the agency  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03A-02  Rev. 2 | ***Test Reports – Forensic***  Final reports and slides relating to forensic autopsy examinations.  *Note: Retention based on recommendation by the College of American Pathologists for forensic reports and slides to be kept indefinitely.* | **Retain** for the life of the agency  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

1. PHARMACY MANAGEMENT

The function relating to the management of pharmacies that are part of public hospitals.

| * 1. ADMINISTRATION   The activity of providing for the general administration of public hospital pharmacies. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03O-22  Rev. 1 | ***Patient Profile and Medication Records – Age 18 and Over***  Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient age 18 and over receiving prescription medication from the pharmacy.  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 last provision of health-related services  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-140  Rev. 0 | ***Patient Profile and Medication Records – Under Age 18***  Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient under age 18 receiving prescription medication from the pharmacy.  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 individual reaches age 18  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03O-12  Rev. 2 | ***Batch Data***  Records relating to laboratory data on each batch of drug received. | **Retain** for 50 years after completion/cessation of batch distribution  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. DRUG ACCOUNTABILITY   The activity of documenting the pharmacy’s acquisition, use, and disposition of pharmaceutical drugs. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03O-11  Rev. 2 | ***Home Dialysis Program – Drug Shipment***  Records relating to the shipment of drugs to persons on home dialysis programs. | **Retain** for 2 years after date of shipment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03Y-02  Rev. 2 | ***Legend Drug Orders***  Records relating to legend drug orders. | **Retain** for 6 years after date of purchase  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03O-09  Rev. 3 | ***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:   * Dispensing records created in accordance with 21 CFR 1306.26 or 21 CFR 1034.04; * Drug registers and inventories; * Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions); * Transfer records; * Destruction records. | **Retain** for 6 years after date of destruction/disposition  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03O-19  Rev. 2 | ***Pharmaceutical Wholesaler Inventories***  Inventory and transaction records maintained by wholesale drug distributors regarding the receipt, distribution, or disposition of prescription drugs. | **Retain** for 2 years after date of creation  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO55-03O-29  Rev. 1 | ***Schedule V Drugs Dispensed***  Records documenting the dispensing of Schedule V drugs. | **Retain** for 6 years after date dispensed  *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. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03O-04  Rev. 1 | ***Compounding Practices***  Reports relating to the evaluation and implementation of compounding best practices and procedures in compounding pharmacies. | **Retain** for 2 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-10  Rev. 2 | ***Drug Distribution Errors***  Reports documenting drug distribution errors reported to a prescribing practitioner and/or pharmacy. | **Retain** for 6 years after date of report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-141  Rev. 1 | ***Home Dialysis Program Quality Assurance***  Reports relating to quality assurance programs for home dialysis and related drug distribution error, loss, damage, and theft records. | **Retain** for 6 years after date of shipment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-15  Rev. 2 | ***Monthly Inspections – Hospital/Nursing Care Units***  Reports relating to the monthly inspection of nursing care units or other areas of hospitals in which medications are dispensed, administered or stored. | **Retain** for 3 years after date of inspection  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-18  Rev. 2 | ***Parenteral Product Contamination Testing***  Reports relating to the testing of parenteral products for microbial contamination and other inadequacies.  Includes, but is not limited to:   * Quality assurance records documenting medication errors, adverse drug reactions, patient satisfaction, and product sterility; * Documentation of sampling tests for contamination; * End product testing where bulk compounding of parenteral solutions is performed utilizing non-sterile chemicals. * Documentation justifying chosen expiration dates for compounded parenteral products. | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-03  Rev. 2 | ***Pharmaceutical Complaints and Investigations***  Records of all written and oral complaints regarding each pharmaceutical product, and related investigation records. | **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 |
| HO2011-142  Rev. 1 | ***Pharmacy Policy, Procedure, and Training Manuals***  Manuals of pharmacy policies and procedures which ensure patient health, safety, and welfare, as well as training manuals for pharmacy employees. | **Retain** for 2 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OFM |
| HO55-03O-26  Rev. 1 | ***Regulated Chemical Tableting***  Transaction and Drug Enforcement Agency reporting records for regulated transactions involving listed chemicals, a tableting machine, or an encapsulating machine in accordance with 21 CFR 1310.03, 1310.04, and 1310.05. | **Retain** for 2 years after date of transaction  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-25  Rev. 2 | ***Returned Pharmaceuticals***  Records relating to pharmaceuticals returned to the pharmacy and any related examination or testing performed on such pharmaceuticals. | **Retain** until termination of pharmacy license  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| HO55-03O-31  Rev. 2 | ***Therapeutically Equivalent Drug Substitution***  Records documenting prior authorization for therapeutically equivalent drug substitution. | **Retain** for 10 years after patient’s last discharge  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

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. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-143  Rev. 1 | ***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 application has been approved, retained in accordance with 21 CFR 320.63 or 320.38. | **Retain** for 5 years after date on which Food and Drug Administration application or supplemental application is approved  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-144  Rev. 1 | ***Bioavailability/Bioequivalence Samples – Food and Drug Administration Application (Not 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 the bioavailability study  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-145  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. | **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  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-146  Rev. 1 | ***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 application has been approved.  *Note: Retention based on 2-year requirement after application approval for records and reports showing the receipt, shipment, or other disposition of investigational drugs in accordance with 21 CFR 312.57.* | **Retain** for 2 years after date marketing application is approved  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-147  Rev. 1 | ***Trial Drug Management – Food and Drug Administration Application (Not Approved)***  Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has not been approved.  *Note: Retention based on 2-year requirement after application not approved for records and reports showing the receipt, shipment, or other disposition of investigational drugs in accordance with 21 CFR 312.57.* | **Retain** for 2 years after investigation is discontinued and the Food and Drug Administration notified  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-148  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 conclusion of pertinent investigational activities  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-149  Rev. 0 | ***In Vivo/In Vitro Batch Tests***  Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product to assure it meets bioequivalence requirements, retained in accordance with 21 CFR 320.36(a). | **Retain** for 2 years after expiration date of the batch  *and*  2 years after submitted to the Food and Drug Administration  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| HO2011-150  Rev. 1 | ***Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)***  Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has been filed.  Includes, but is not limited to:   * Case report forms and supporting data; * Signed and dated consent forms; * Medical records.   *Note: Retention based on 2-year requirement for drug disposition and case history records after the date a Food and Drug Administration marketing application is approved for the drug being investigated in accordance with 21 CFR 312.64.* | **Retain** for 2 years after date marketing application is approved  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO2011-151  Rev. 1 | ***Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)***  Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration 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: Retention based on 2-year requirement for drug disposition and case history records after the investigation is discontinued and the Food and Drug Administration is notified in accordance with 24 CFR 312.64.* | **Retain** for 2 years after investigation is discontinued and the Food and Drug Administration is notified  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. DIAGNOSTIC RESEARCH   The activity relating to conducting diagnostic research. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO2011-152  Rev. 0 | ***Diagnostic Research***  Records created in the course of performing diagnostic testing for research purposes.  Includes, but is not limited to:   * Patient files, including medical histories; * Diagnostic research images. | **Retain** for 8 years after conclusion of research activities  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. INSTITUTIONAL REVIEW BOARDS   The activity relating to the management and oversight of human subject research. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| HO55-03U-04  Rev. 2 | ***Institutional Review Boards – General Board Records***  Records relating to institutional review boards and their activities in the monitoring and oversight of human subject research as described in 45 CFR 46.115.  Includes, but is not limited to:   * Approved sample consent documents; * IRB member lists and credentialing; * IRB reviews of research proposals and ongoing review activities; * Minutes of IRB meetings; * Reports of unanticipated problems involving risks to subjects or others; * Scientific evaluations.   *Note: Retention based on 3-year requirement for general IRB records in accordance with 45 CFR 45.115(a).* | **Retain** for 3 years after date of document  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03U-07  Rev. 2 | ***Institutional Review Boards – 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; * Patient statements of disagreements and complaints.   *Note: Retention based on 6-year requirement for principal investigators’ records after research is completed in accordance with 45 CFR 45.115.* | **Retain** for 6 years after completion of research  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| HO55-03U-02  Rev. 2 | ***Institutional Review Boards – Research Conducted***  IRB board 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.   *Note: Retention based on 3-year requirement for IRB records relating to completion of research conducted in accordance with 45 CFR 46.115(b).* | **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 |

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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*** |
| Records needed to respond to, and/or perform critical operations during/after, a disaster or emergency. They need to be protected through backup or enhanced storage. (RCW 40.10.010) |
| ***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. |

INDEXES

ARCHIVAL RECORDS INDEX

*See the Local Government Common Records Retention Schedule (CORE) for additional “Archival” records.*

HEALTH CARE AND TREATMENT

Long Term Care/Nursing Facility Management

Resident Censuses 20

Patient Administration

Master Patient Index 21

Maternity Registers 21

HOSPITAL SUPPORT SERVICES

Quality Assurance and Compliance

Standard of Care 38

Reporting

Baptismal Registries 39

Birth/Death Registers 39

LABORATORY AND PATHOLOGY MANAGEMENT

Blood/Tissue Banks

Donors - Deferred 49

Forensic Pathology

Assession Logs 52

Gross Injury/Trauma Photographs and Negatives 52

Test Reports - Forensic 53

PHARMACY MANAGEMENT

Quality Assurance and Control

Pharmaceutical Complaints and Investigations 59

RESEARCH MANAGEMENT

Institutional Review Boards

Institutional Review Boards – General Board Records 67

Institutional Review Boards – Research Conducted 68

ESSENTIAL RECORDS INDEX

*See the Local Government Common Records Retention Schedule (CORE) for additional “Archival” records.*

ASSET MANAGEMENT

Maintenance, Inspection, and Monitoring

Instructions/Procedures – Radiation Protection 12

Radiation Machine Registrations 12

HEALTH CARE AND TREATMENT

Diagnostic and Medical Imaging

Mammography Films 17

Long Term Care/Nursing Facility Management

Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over 18

Long Term Care/Nursing Home Resident Medical Records – Under Age 18 19

Patient Administration

Master Patient Index 21

Patient Medical Records

Counseling 25

Organ Transplants 26

Patient Medical Records – Age 18 and Over 26

Patient Medical Records – Disclosure Authorized 27

Patient Medical Records – Under Age 18 27

HUMAN RESOURCE MANAGEMENT

Staff Development/Training

Medical Use Licenses 42

LABORATORY AND PATHOLOGY MANAGEMENT

Blood/Tissue Banks

Donors - Deferred 49

Donors - General 49

Forensic Pathology

Gross Injury/Trauma Photographs and Negatives 52

PHARMACY MANAGEMENT

Administration

Patient Profile and Medication Records – Age 18 and Over 54

Patient Profile and Medication Records – Under Age 18 55

Quality Assurance and Control

Pharmacy Policy, Procedure, and Training Manuals 60

RESEARCH MANAGEMENT

Clinical Trials

Bioavailability/Bioequivalence Samples – Food and Drug Administration Application (Approved) 61

Device Trials 62

Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials) 64

Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials) 65

Diagnostic Research

Diagnostic Research 66

Institutional Review Boards

Institutional Review Boards – General Board Records 67

Institutional Review Boards – Principal Investigator Records 68

Institutional Review Boards – Research Conducted 68

DISPOSITION AUTHORITY NUMBERS (dan’S) INDEX

HO2011-074 6

HO2011-075 6

HO2011-076 8

HO2011-077 10

HO2011-078 10

HO2011-079 12

HO2011-080 12

HO2011-081 13

HO2011-082 13

HO2011-083 14

HO2011-084 16

HO2011-085 17

HO2011-086 17

HO2011-087 18

HO2011-088 18

HO2011-089 19

HO2011-090 19

HO2011-091 20

HO2011-092 20

HO2011-093 22

HO2011-094 22

HO2011-095 22

HO2011-096 23

HO2011-097 23

HO2011-098 24

HO2011-099 25

HO2011-100 26

HO2011-101 27

HO2011-102 27

HO2011-103 28

HO2011-104 30

HO2011-105 30

HO2011-106 33

HO2011-107 33

HO2011-108 33

HO2011-109 34

HO2011-110 35

HO2011-111 35

HO2011-112 36

HO2011-113 36

HO2011-114 36

HO2011-115 37

HO2011-116 37

HO2011-117 38

HO2011-118 39

HO2011-119 39

HO2011-120 39

HO2011-121 40

HO2011-122 40

HO2011-123 41

HO2011-124 43

HO2011-125 44

HO2011-126 46

HO2011-127 46

HO2011-128 47

HO2011-129 48

HO2011-130 48

HO2011-131 49

HO2011-132 49

HO2011-133 49

HO2011-134 50

HO2011-135 51

HO2011-136 51

HO2011-137 52

HO2011-138 52

HO2011-139 52

HO2011-140 55

HO2011-141 58

HO2011-142 60

HO2011-143 61

HO2011-144 61

HO2011-145 62

HO2011-146 62

HO2011-147 63

HO2011-148 63

HO2011-149 64

HO2011-150 64

HO2011-151 65

HO2011-152 66

HO55-03A-02 53

HO55-03B-02 21

HO55-03B-03 21

HO55-03C-01 12

HO55-03D-01 34

HO55-03D-03 34

HO55-03D-04 34

HO55-03E-02 40

HO55-03H-05 45

HO55-03H-07 47

HO55-03I-02 21

HO55-03I-07 26

HO55-03L-03 31

HO55-03L-06 42

HO55-03L-07 7

HO55-03L-08 8

HO55-03L-10 6

HO55-03L-19 10

HO55-03L-20 11

HO55-03L-25 25

HO55-03L-30 32

HO55-03L-37 30

HO55-03L-39 29

HO55-03L-42 30

HO55-03L-43 31

HO55-03L-46 12

HO55-03L-47 38

HO55-03L-56 31

HO55-03L-58 28

HO55-03L-61 42

HO55-03L-63 42

HO55-03L-64 13

HO55-03L-66 10

HO55-03L-68 14

HO55-03L-69 13

HO55-03M-01 21

HO55-03N-05 43

HO55-03O-03 59

HO55-03O-04 58

HO55-03O-09 56

HO55-03O-10 58

HO55-03O-11 56

HO55-03O-12 55

HO55-03O-14 8

HO55-03O-15 58

HO55-03O-18 59

HO55-03O-19 57

HO55-03O-22 54

HO55-03O-25 60

HO55-03O-26 60

HO55-03O-29 57

HO55-03O-31 60

HO55-03Q-01 37

HO55-03Q-04 23

HO55-03R-04 18

HO55-03R-06 19

HO55-03S-01 15

HO55-03U-02 68

HO55-03U-04 67

HO55-03U-07 68

HO55-03V-04 5

HO55-03X-01 9

HO55-03Y-02 56

Subject INDEX

*Note: The use in this index of CORE refers to the Local Government Common Records Retention Schedule.*

A

acceptance testing 6

accession logs (forensic pathology) 52

accession/test logs 43

accounting *see CORE*

accountings of disclosure (HIPAA) 35

accreditation, certification, and license documentation *see CORE*

agendas *see CORE*

as-built construction project plans *see CORE*

assays, radiopharmaceutical 31

auditing *see CORE*

B

banking *see CORE*

baptismal registries 39

batch data 55

benefits (HR) *see CORE*

bids and proposals *see CORE*

billing/financial assistance 23

bioavailability/bioequivalence samples 61

birth/death registers 39

blood/tissue banks

donor consents 49

employee records 41

quality control 50

boards, councils and committees *see CORE*

brachytherapy

source accountability 28

budget *see CORE*

bylaws *see CORE*

byproduct

misadministration 28

source surveys and tests 31

C

calibration

brachytherapy sources 10

dosimetry equipment 10

expert evaluations 10

instructions – image receptors 10

call schedules (physicians) 40

censuses (long-term care/nursing 20

charters (agency) *see CORE*

claims

for damages *see CORE*

clinical resource management/utilization review 23

communications (executive/non-executive) *see CORE*

complaints *see also CORE*

HIPAA violations 36

patients 5

pharmaceutical 59

compounding practices 58

construction projects *see CORE*

consultant and contractor rosters *see CORE*

contracts/agreements *see CORE*

controlled substances

destruction 56

inventory accountability 56

cost/fee sheets 23

counseling 25

credentialing/privileging 37

cytogenetics 51

cytology reports 52

D

decay (in storage/Strontium-90) 6

deferred donors 49

device trials 62

diagnostic images

age 18 and older 15

cytogenetics 51

under age 18 16

diagnostic research 66

donors/recipients

general 49

specimens 49

drug disposal

controlled substances 56

drug logs – therapeutic leave 18

drugs

distribution errors 58

E

electronic information systems *see CORE*

emergency kit drugs 18

employee records *see also CORE*

blood/tissue banks 41

environmental management *see CORE*

equipment

calibration and testing 11

sterilization/infection control 12

F

facilities plans *see CORE*

forensic reports 53

forms and publications *see CORE*

G

grants *see CORE*

grievances (patients) 5

gross injury photographs/negatives 52

H

HIPAA

accountings of disclosure 35

changes/corrections to records 35

complaints 36

sanctions to workers 36

training 36

home dialysis program

drug shipment 56

quality assurance 58

I

immunohematology

non-transfusion related 43

transfusion related 44

in vivo/in vitro batch tests 64

in-home equipment 9

inquiries (patients) 5

institutional review boards

general board records 67

principal investigator records 68

research conducted 68

instruction/training

occupational doses 42

radiation protection 42

instructions

manufacturer 12

instructions/procedures – radioactive protection 12

interpretation requests 25

inventories of radio sources 8

investigators’ financial interest 63

L

leasing/usage (asset) *see CORE*

library services *see CORE*

litigation case files *see CORE*

long-term care/nursing home patient records

under age 18 19

long-term care/nursing home patient records

age 18 and over 18

M

mail services *see CORE*

mammograms 17

master patient index 21

maternity registers 21

meal counts 34

mechanical floor stock devices

drug removal 8

medical use licenses 42

menus (cafeterias/patients) 34

monthly inspections – hospital/nursing care units 58

O

occupational and public dose/exposure

reports 29

working files 30

occupational health and safety *see CORE*

online content management *see CORE*

operative

scheduling/assignments 22

operative indexes 21

organ transplants 26

P

parenteral product

contamination testing 59

patient

billing/financial assistance 23

meals 34

property 21

releases (radiation) 30

patient accident/incident reports

age 18 and older 37

under age 18 37

patient medical records

age 18 and over 26

disclosure authorized 27

under age 18 27

patient profile and medication records

age 18 and over 54

under age 18 55

patient relations 5

personnel *see CORE*

persons seeking admission 19

pharmaceutical

complaints and investigations 59

wholesale inventories 57

pharmacy policy, procedure, and training manuals 60

physician call schedules 40

policies/procedures *see also CORE*

pharmacies 60

prescription

drug orders 56

press releases *see CORE*

program

approvals/changes (radiation protection program) 30

public

dose limit compliance 30

Q

quality control and assurance

blood/tissue banks 50

non-transfusion services 46

transfusion services 45

R

radiation

doses 31

machine registrations 12

safety officer 40

radiation protection program

audits and reviews 38

radioactive material

acquisition transfer 8

radioactive material disposal 7

radiologic reports 17

radiopharmaceutical assays 31

records management *see CORE*

recruitment/hiring *see CORE*

referrals

outside the agency 22

to the agency 22

regulated chemical tableting 60

resident

censuses 20

in/out logs 20

resident administration 19

returned pharmaceuticals 60

risk management/insurance *see CORE*

S

schedule V drugs dispensed 57

security *see CORE*

staff development/training *see CORE*

staff plans/schedules (nursing) 40

standard of care 38

sterilizer spore tests 13

strategic plans *see CORE*

Strontium-90 (decay) 6

subject case histories

FDA application filed 64

FDA application not filed 65

surveys

general (radiation protection program) 32

treatment equipment 13

T

teletherapy

calibration calculations 13

five year/source replacement inspections 13

source installation surveys 14

test

procedures 46

test gated dot plots/histograms (cytogenetics) 51

test reports

all other services 47

pathology 47

transfusion services 48

therapeutically equivalent drug substitution 60

training manuals

pharmacies 60

transfusion services

general administration 48

trial drug management

FDA application approved 62

FDA application not approved 63

U

uncompensated care

compliance 24

V

valuation *see CORE*

vital statistics supporting documentation 39

W

work orders *see CORE*

work plans *see CORE*

written directives

authorizations 33

doses 33

procedures 33

X

x-ray/electron therapy spot checks 14