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RECORDS RETENTION

MANUAL

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HEALTH DISTRICTS

AND

HEALTH DEPARTMENTS

State of
Washington



<u>INTRODUCTION</u>	1
<u>SECTION A: RECORDS MANAGEMENT AS A SOLUTION TO THE PAPERWORK EXPLOSION</u>	2
I. THE PROBLEM	2
II. OUR INVESTMENT IN RECORDS	2
III. THE SOLUTION: RECORDS MANAGEMENT DEFINED	3
<u>SECTION B: RECORDS RETENTION & DISPOSITION</u>	4
I. LEGAL REQUIREMENTS & RESPONSIBILITIES	4
A. PUBLIC RECORDS DEFINED	4
B. RECORDS AS PUBLIC PROPERTY	4
C. CUSTODY OF PUBLIC RECORDS	5
D. DISPOSITION OF PUBLIC RECORDS	5
E. THE LOCAL RECORDS COMMITTEE	5
F. RECORDS RETENTION SCHEDULES	5
G. AUTHORITY TO ADOPT GENERAL RECORDS RETENTION SCHEDULES	5
H. THE USE OF MICROFILM	5
I. AUTHORITY TO TRANSFER RECORDS TO STATE ARCHIVES	5
J. METHODS OF RECORDS DESTRUCTION	5
II. RECORDS RETENTION SCHEDULING	6
A. WHAT IS A RECORDS RETENTION SCHEDULE?	6
B. BASIC ELEMENTS OF A RECORDS RETENTION SCHEDULE	6
1. Records Series	
2. Retention Period	
3. Records Classification	
a. Official Public Record (OPR)	
b. Office File & Memoranda (OFM)	
4. Archival Value	
C. OTHER IMPORTANT INFORMATION	7
1. Location of Primary & Secondary Copies	
2. Disposition Remarks	
3. The Use of Microfilm	
D. WHAT IS A GENERAL RECORDS RETENTION SCHEDULE?	8
E. THE USE & APPLICATION OF A GENERAL SCHEDULE	8
1. Formulation of Internal Working Schedules	
2. Distribution	
F. THE USE & APPLICATION OF INDIVIDUAL RECORDS RETENTION SCHEDULES	8
1. Disposition of Records Series Not Covered by the General Schedule	
2. Reduction of General Schedule Retention Periods	

WA 350.81 L78rec r4 1980? Washington State Local Government Committee Records retention manual, health districts and health

III. <u>GENERAL SCHEDULES</u>	10
A. ADMINISTRATION:	
1. Personnel	11
2. Reports	12
3. Correspondence	13
4. Legal Documents	14
5. Business Office	16
6. Equipment & Supplies	19
7. Policies & Planning	20
B. VITAL STATICS	21
C. NURSING ADMINISTRATION:	
1. Dental Health	22
2. Family Planning	23
3. Maternal & Child Health	24
4. Adult Health	28
5. Communicable Diseases	35
6. Health Education	36
7. Clinic	37
D. ENVIRONMENTAL HEALTH:	
1. Health Inspections	38
2. Food Inspection	40
3. Buildings & Property	41
4. Complaints, Investigations & Reports	44
5. Licenses	45
6. Animal Diseases	46
E. LABORATORY	47
<u>SECTION C: IMPLEMENTING A RECORDS RETENTION PROGRAM</u>	49
I. <u>ESTABLISHING A PROGRAM - STEP BY STEP</u>	49
A. SUPPORT FROM THE TOP	49
B. APPOINTMENT OF A RECORDS OFFICER	49
C. NOTIFY STAFF OF PROGRAM INAUGURATION	49
D. APPOINT A RECORDS RETENTION COMMITTEE	50
E. ESTABLISH A RECORDS RETENTION MANAGEMENT FILE	50
F. ESTABLISH CONTACTS IN FUNCTIONAL AREAS	50
G. ESTABLISH FORMAL RECORDS RETENTION POLICIES & PROCEDURES	50
H. PROCEED WITH INITIAL PROJECTS & ESTABLISH CONTROLS FOR THE PROGRAM	50
II. <u>PROGRAM MAINTENANCE</u>	51
A. MONITOR IMPLEMENTATION	51
B. UPDATE RECORDS RETENTION SCHEDULES	51
III. <u>COMPILE & REPORT PROGRAM RESULTS</u>	51
A. STATISTICAL RESULTS	51
B. COST SAVINGS	51

APPENDICES

APPENDIX A: POLICY & PROCEDURE	52
APPENDIX B: RCW 40.14	54
APPENDIX C: LEGAL STATUS OF MICROFILM	58

SUPERSEDED

INTRODUCTION

This manual has been prepared to provide for the disposition of the records of health districts and health departments throughout the state of Washington. It reflects the requirements set forth in RCW 40.14 which provides for the disposition of Public Records, and RCW 70.41.190 which states that all medical records which relate directly to the care and treatment of a patient be retained for a period of no less than ten years following the most recent treatment of the patient, except for the records of minors, which shall be retained and preserved for a period of no less than three years following attainment of the age of eighteen years, or ten years after the last treatment, whichever is longer.

It should be emphasized that the retention periods included here are minimum retention periods, and as such they do not obligate officials or staff to dispose of any records which they may want to retain for a longer period of time. Rather, they indicate the minimum amount of time each type of record must be kept in order to satisfy legal requirements and administrative needs, based on the best information available.

~~The schedules were prepared through the cooperation of personnel from health districts and health departments throughout the state and the Washington State Archives and Records Center.~~

~~In the State of Washington there is a great diversity in the organization of health departments and health districts as they are variously known. The schedules included here are intended to apply to all local health agencies, but because the functions and records of the different health agencies vary from one agency to another, a particular agency will not necessarily have every record series listed in the manual, it may know its records by different names, and may keep records not listed. While the general schedule provides the authority for the disposition of the records listed without further ado, it is still necessary to submit a Public Records Retention Schedule and Destruction Authorization (GAA-24).~~

The manual also discusses Records Management as a solution to the problems brought on by the "Paperwork Explosion," the legal requirements of records retention and disposition, the use of microfilm and the establishment of a Records Retention Program.

SECTION A: RECORDS MANAGEMENT AS A SOLUTION TO THE PAPERWORK EXPLOSION

I. THE PROBLEM

Our ability to control records has not kept pace with the ability of typewriters, duplicating, copying and data processing machines to spew them out. The accelerated accumulation of records brought about by technology has intensified the problems of records maintenance, retention and disposition.

FOR EXAMPLE, IN YOUR OWN AGENCY WHO KNOWS:

THE VOLUME OF RECORDS IN THE CUSTODY OF THE AGENCY?
WHAT PORTIONS OF THOSE RECORDS ARE ACTIVE, INACTIVE OR OBSOLETE?
HOW RAPIDLY YOUR RECORDS ARE EXPANDING?
HOW MANY FORMS ARE USED?
HOW MUCH TIME IS REQUIRED TO PREPARE EACH ONE?
HOW MUCH TIME DOES IT TAKE TO FILE, REFERENCE AND REFILE RECORDS?

These are vital questions. The conditions they relate to have a great impact upon the success and efficiency of your agency operations. Their importance may also be gauged by the magnitude of the investment that records require.

II. OUR INVESTMENT IN RECORDS

Often the costs of records creation, maintenance and storage are not apparent. They are hidden in manhours, building and equipment costs which are not always associated with records.

A. RECORDS CREATION

Each inch of file cabinet space can contain approximately 160 pieces of correspondence, reports or forms. Original correspondence will cost a minimum of \$2.65 in professional and secretarial time to prepare. A representative inch of records will cost approximately \$409.00 to create.

B. RECORDS MAINTENANCE

The average annual cost of records maintenance (filing and retrieving) is about \$2.64 per file inch based on clerical salary, supervisory time and other overhead, equal to one clerk per each eleven four-drawer file cabinets.²

C. RECORDS STORAGE

The cost of records storage in terms of facilities, floor space and file equipment costs is estimated at \$10.00 annually per cubic foot of records or over \$.80 per file inch.³

1. Cost estimates obtained from study by Washington State Department of Motor Vehicles, 1975, First-line Supervisor letter preparation.
2. National average estimated in 1970 by Management Information Services of Detroit. Page 333 of Records Management Handbook -1970.
3. Boeing Aircraft Corporation -1975.

NOTE: Local sources were used where possible in order to reflect local economic conditions.

EXPLOSION

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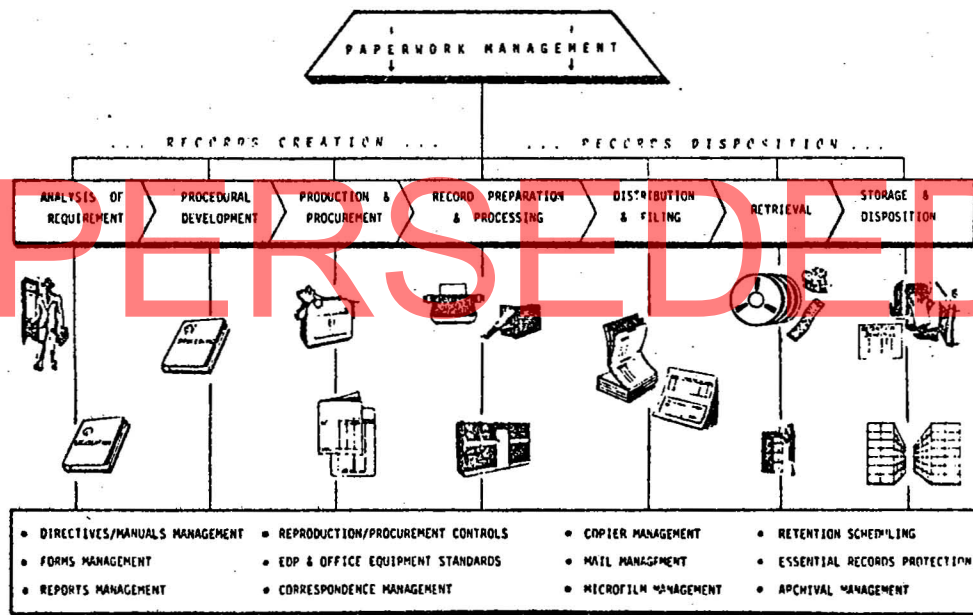
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II. OUR INVESTMENT IN RECORDS (Condt.)

As these cost accounting examples indicate, records costs and records problems come from several different directions. The solution to the overall problem, therefore, involves the control of the myraid of facets pertaining to the creation, maintenance and storage of records.

III. THE SOLUTION: RECORDS MANAGEMENT DEFINED

"RECORDS MANAGEMENT" is a general term which encompasses a number of activities that contribute toward the common goal of making records creation, maintenance and storage less costly and more efficient. The magnitude of the concept is illustrated below in a diagram prepared by the Paperwork Management Sub-Committee of the Governor's Management Improvement Council.



Any or all of the Records Management functions shown in the diagram above may be incorporated into a specific program to meet the needs of a particular agency. The remainder of this manual deals with the single element of Records Retention Management. However, the other elements of the Records Management concept can play integral parts in a well rounded program. Further information on these other functions may be obtained through the State Archives.

SECTION B: RECORDS RETENTION & DISPOSITION

Obsolete, outdated records are both costly and potentially harmful to operations of any agency. Not only do they take up valuable working space and exhaust the capacity of otherwise suitable structures to house offices and agencies, often they hinder the usefulness of active records through the crowding and chaos they can inflict.

The object of a Records Retention program is to dispose of records that bear no further legal obligation or administrative usefulness and to set up a continuous cycle for retaining and disposing of each type of record kept by an agency. Permanently valuable historical records should also be identified and transferred to the State Archives at the end of their legal or administrative lives.

Whether in the public or the private sector, Records Retention Management is just good business management. However, there are also legal reasons for implementing a comprehensive Records Retention program. Various laws regulate the operation of a wide variety of services provided by public agencies and the records which document those services.

I. LEGAL REQUIREMENTS & RESPONSIBILITIES

In most states, statutes regulate the retention and disposition of public records. In Washington State the Records Act, Revised Code of Washington (RCW) 40.14, is the primary statute in that regard. RCW 40.14 and the Washington Administrative Code include the following provisions:

A. PUBLIC RECORDS DEFINED

"Public Records" means any paper, correspondence, form, book, film, magnetic tape, sound recording, map, drawing or other document regardless of physical form or characteristics, including all copies thereof, that have been made by any agency or received by it during the course of public business. (RCW 40.14.010 and WAC 414-12-010)

B. RECORDS AS PUBLIC PROPERTY

All such public records shall be and remain the property of the agency. They shall be delivered by outgoing officials and employees to their successors. Furthermore, public records shall be preserved, stored, transferred, destroyed and otherwise managed, only in accord with the provisions of RCW 40.14, and as otherwise provided by law. (WAC 414-12-010)

C. CUSTODY OF PUBLIC RECORDS

Unless otherwise provided by law, public records must remain in the custody of the agency in which they were originally filed. They shall not be placed in the custody of any other person or agency, public or private, or released to individuals except for disposition pursuant to law, or, as otherwise expressly provided by law. (RCW 40.14.070 and WAC 414-12-020)

D. DISPOSITION OF PUBLIC RECORDS

Public Records may be destroyed or transferred only in accord with the instructions and approval of the Local Records Committee unless otherwise provided by law. This process may be accomplished through the use of a Records Retention Schedule or General Records Retention Schedule. (RCW 40.14.070)

E. LOCAL RECORDS COMMITTEE

The State Archivist, the Chief Examiner of Municipal Corporations of the State Auditor's Office and a representative appointed by the Attorney General constitute the State Local Records Committee. This Committee has the authority to review and approve the disposition of records of agencies of local government. (RCW 40.14.070)

F. RECORDS RETENTION SCHEDULE

A local government agency may elect to establish a records control program based on a recurring Records Retention Schedule recommended by the agency to the Local Records Committee. The schedules are to be submitted to the Local Records Committee on forms provided by the Division of Archives and Records Management. The Committee may either veto, approve or amend the schedule. Once a schedule is approved, it shall constitute authority for the local agency to dispose of the records listed thereon, after the required retention periods have lapsed, on a recurring basis until it is either amended or revised by the Committee. (RCW 40.14.070)

G. AUTHORITY TO ADOPT GENERAL RECORDS RETENTION SCHEDULES

The Local Records Committee may approve and issue Records Retention Schedules which shall constitute authority for like agencies to dispose of specific types of records which they hold in common. General Schedules, like individual Records Retention Schedules, apply on a recurring basis until such time as they may be amended or revised. (RCW 40.14.070 and WAC 414-24-050)

H. THE USE OF MICROFILM

Microfilm copies of Public Records whose completeness and clarity are officially guaranteed, have the same legal status of the original paper copies of those records. (See Appendix E)

I. AUTHORITY TO TRANSFER RECORDS TO THE STATE ARCHIVES

In lieu of permanent retention by local agencies, records of archival or historical value may be officially transferred to the State Archives or an other depository designated by the State Archivist. (RCW 40.14.070 and WAC 414-12-030)

J. METHODS OF RECORDS DESTRUCTION

In regard to those records which are eligible to be destroyed under the provision of an individual or General Records Retention Schedule, the primary object of destruction shall be to reduce the records to an illegible condition. Burning, pulping and shredding are considered to be the most effective means of accomplishing that objective.

An agency may dispose of records by releasing them for recycling purposes under the following conditions:

J. METHODS OF RECORDS DESTRUCTION (Continued)

(1) The prompt destruction of the records shall be insured and the responsibility of such destruction shall continue to be that of the agency until the records are actually destroyed.

(2) The individual or entity purchasing such records shall have in effect, or provide, a performance bond in a penal sum of \$100,000.00 or the face value of the records being sold, whichever is least.

(3) Records shall not be kept in unattended and unprotected storage while awaiting their destruction.

(4) The agency shall obtain and preserve evidence of the destruction of such records in the form of a certificate from the person or entity to whom they were released. (WAC 414-24-070 through WAC 414-24-080)

It is recommended that agencies keep summary logs and/or compile certificates recording the details and date of destruction for all Records Series that have been destroyed.

II. RECORDS RETENTION SCHEDULING

A. WHAT IS A RECORDS RETENTION SCHEDULE?

A Records Retention Schedule is a device which lists the specific types of records compiled by an agency and determines the length of time that each type should be retained. Once a Records Retention Schedule is approved for a local agency by the Local Records Committee, it serves as the agency's authority to dispose of those types of records which it lists (according to the stipulations of each listing) on a recurring basis until such time as it may be revised or amended.

B. BASIC ELEMENTS OF A RECORDS RETENTION SCHEDULE

1. Records Series

Each type of record listed on a Records Retention Schedule is a separate Records Series. A Records Series may be defined as a group of records performing a particular function, which are filed as a unit, used as a unit and are disposed or transferred as a unit.

2. Retention Period

Each Records Series listed on a Records Retention Schedule has a corresponding Retention Period. The Retention Period is the minimum amount of time that records in a particular Records Series must be retained by an agency to meet its legal responsibilities and administrative needs.

3. Records Classification

For the purpose of determining Retention Periods, Public Records are divided into two classifications. Whichever classification the various Records Series of a public agency may fall under, they are all Public Records and their disposition must be accounted for on a Records Retention Schedule or a destruction request.

a. Official Public Record (OPR)

The classification of Official Public Record applies to any Records Series which serves as legal or official proof of an action, transaction or agreement by the agency in question. OPR records include all original vouchers, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use and disposition of all public property and public income from all sources; all original contracts and agreements to which the agency is a party; all original fidelity, surety and performance bonds; all original claims filed against the agency; all records or documents required by law to be filed with or kept by the agency and all other records or documents determined by the local Records Committee to be Official Public records. The minimum legal Retention Period for Official Public Records is 7 years after completion unless otherwise stated by law.

b. Office Files and Memoranda (OFM)

The classification of Office Files and Memoranda applies to all records, correspondence, exhibits, books, ledgers, maps, drawings, forms not classified as Official Public Records; all secondary copies of Official Public Records; all documents and reports made for the internal administration of the agency to which they pertain but not required by law to be filed or kept with such agency; and all other Records Series determined by the Local Records Committee to be Office Files and Memoranda. OFM Records Series have a strictly administrative value. As such, their Retention Periods are not determined by law, but rather by the administrative needs of the agency which creates and uses them.

4. Archival Value

Each Records Series which has a permanent historical value beyond the Retention Period listed for the agency will bear the designations "Archival," or "Selected Files Potentially Archival." On a General Records Retention Schedule such Series will be identified with a "Yes" in the "Archive?" column. All Records Series that bear Archival designations should be transferred to the State Archives once their Retention Periods have expired.

C. OTHER IMPORTANT INFORMATION

1. Location of Primary and Secondary Copies

The Primary Copy of a record (especially an Official Public Record) should usually have a longer Retention Period than do the Secondary Copies. Therefore, the status of a particular Records Series as a Primary or Secondary Copy often has a direct effect on the length of its Retention Period.

2. The Use of Microfilm

The use of Microfilm may also affect the Retention Periods of certain Records Series because microfilm copies may be retained in lieu of the paper original. The expense of microfilm, in most cases, is justified only when a Records Series is extremely voluminous, has a long Retention Period and a high rate of reference.

3. Disposition Remarks

The Disposition Remarks column does not apply to every Records Series. When it is used, it contains information that clarifies the provisions of a Retention Period or explains legal and procedural requirements which are unique to a particular Records Series.

D. WHAT IS A GENERAL RECORDS RETENTION SCHEDULE?

A General Records Retention Schedule fulfills all of the functions of a Records Retention Schedule prepared by and for an individual agency. However, a General Records Retention Schedule is issued by the Local Records Committee to serve as the authority for the retention and disposition of Records Series held in common by all local agencies of a particular type within the state. It eliminates the necessity for each agency to submit individual Records Retention Schedules for the Records Series which it lists. The disposition of Records Series not covered by the General Schedule must be authorized separately on an individual Records Retention Schedule approved by the Local Records Committee.

E. THE USE & APPLICATION OF GENERAL RECORDS RETENTION SCHEDULES

1. Formulation of Internal Working Schedules

A General Records Retention Schedule may be applied directly to the disposition of the Records Series which it lists. However, it may contain a number of listings which do not apply to the holdings of a particular agency. Therefore, it is recommended that the General Schedule be used as a guideline to formulate an Internal Working Schedule which would relate specifically to the needs of the agency in question.

2. Distribution

The Internal Working Schedule should be broken down into functional units and be distributed to those persons who will be directly responsible for the disposition of the various Records Series.

F. THE USE AND APPLICATION OF INDIVIDUAL RECORDS RETENTION SCHEDULES

1. Disposition of Records Series Not Covered by the General Schedule

Those Records Series not covered by the General Records Retention Schedule should be entered on a GAA-24, "PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION" form and be submitted to the Local Records Committee for approval.

These forms may be obtained from the State Archives. Once approved, the Individual Records Retention Schedule should be incorporated as a part of the Internal Working Schedule.

F. THE USE & APPLICATION OF INDIVIDUAL RECORDS RETENTION SCHEDULES (Continued)

2. Reduction of General Schedule Retention Periods

Generally, the Retention Periods of Official Public Records are fixed by law and cannot be reduced. The Retention Periods of Office Files and Memoranda Records Series are more flexible. If any agency wishes to have the Retention Periods of OFM Records Series reduced, it should enter those Records Series on a GAA-24 form and submit it to the Local Records Committee for approval.

SUPERSEDED

III. GENERAL RECORDS RETENTION SCHEDULES

The Health District and Health Department General Records Retention Schedules on the following pages constitutes authority for any local health district or health department to dispose of the Records Series listed thereon after the specified Retention Periods have expired, as per the General Schedule authority of the Washington State Local Records Committee pursuant to Chapter 40.14.070 of the Revised Code of Washington and the Washington Administration Code 414-24-050.

SUPERSEDED



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-1	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Personnel	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	JOB APPLICATIONS (not hired). Acceptable applications from other than those persons hired.	OFM	Health Dist/Dept	none	1 year	no	no	
2.	PERSONNEL FILES Individual employee files including job title, position held, unit to which assigned, salary, changes in employment status, attendance, leaves, separation and appointment record, and other such information.	OPR	Health Dist/Dept	none	termination + 7 years	no	no	
3.	TIME SHEETS Records used for computing payroll and leave time accrued.	OFM	Health Dist/Dept	County Auditor/City Comptroller	2 years after state audit	no	no	
4.	ATTENDANCE RECORDS Records and summaries of vacation and sick time accrued.	OFM	Health Dist/Dept	County Auditor/City Comptroller	2 years after state audit	no	no	
5.	PAYROLL REGISTER Record of Health Department/District employees and deductions.	OFM	Health Dist/Dept	County Auditor/City Comptroller	2 years after state audit	no	no	

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FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER	PAGE 1 OF 1 PAGES
HD-1-2	

SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Administration/Reports					1 August 1977	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVET	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	MONTHLY REPORTS Statistical and/or Narrative Reports sent to DSHS, local Board of Health and other agencies documenting Health District/Dept activities and programs.	OFM	Health Dist/Dept	DSHS Board of Health Others	1 year	no	no	
2.	ANNUAL REPORTS Statistical and/or Narrative - Reports sent to DSHS, local Board of Health and other agencies documenting Health District/Dept activities and programs.	OFM	Health Dist/Dept	DSHS Board of Health Others	2 years	yes	no	
3.	SURVEYS Summaries of surveys conducted by the health district/department	OFM	Health Dist/Dept	DSHS Other Agencies	5 years	yes	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL

FOR THE STATE AUDITOR

FOR THE STATE ARCHIVIST

[Signature]

Daniel R. Russell

Libby M. Medford



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-1-3	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Correspondence	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	DIRECTOR'S CORRESPONDENCE Correspondence to and from	OFM	Health Dist/Dept	none	2 year	yes	no	
2.	DIVISION HEAD CORRESPONDENCE Correspondence to and from	OFM	Health Dist/Dept	none	2 years	no	no	
3.	GENERAL CORRESPONDENCE	OFM	Health	none	2 years	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL

FOR THE STATE AUDITOR

FOR THE STATE ARCHIVIST

[Signature]

[Signature]

[Signature]



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-4	PAGE 1 OF 2 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Legal Documents	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	AGREEMENTS AND CONTRACTS Legal working agreements and transactions with other agencies and/or vendors for goods and services such as rental and acquisition of supplies and equipment.	OPR	All parties must have one primary copy		Termination + 7 years	no	no	
2.	PROFESSIONAL SERVICE CONTRACTS Contracts with private physicians and technicians for limited services.	OPR	Health Dist/Dept	Contracting party	Termination + 7 years	no	no	
3.	INSURANCE POLICIES Includes malpractice, accident, property and liability policies.	OPR	All parties must have one primary copy		Termination + 7 years	no	no	
4.	ACCIDENT AND INCIDENT REPORTS Reports submitted to courts of jurisdiction as evidence of an accident or incident. Documents Health Dist/Dept participation in court cases	OPR	Court of jurisdiction or other authority with relevant jurisdiction	Health Dist/Dept	7 years after settled	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

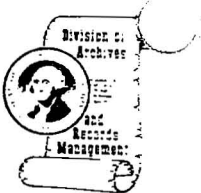
DISPOSITION AUTHORITY NUMBER	PAGE 2 OF 2 PAGES
HD-1-4	

SCHEDULE TITLE	SCHEDULE APPLICABLE TO	EFFECTIVE DATE
Local Health Districts/Departments	Administration/Legal Documents	1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
5.	SUPERIOR COURT CONSUMER PROTECTION ACTIONS Any court action or litigation involving the Health District/Department in consumer protection cases. Includes evidence, complaints, responses and other pertinent documentation.	OPR	Clerk of the Court	Health Dist/Dept. State Attorney General. DSHS	7 years after settled	yes	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-5	PAGE 1 OF 3 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Business Office	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	COUNTY AUDITOR'S/CITY COMPTROLLER ANNUAL REPORTS Annual reports of Health Dist/ Department fiscal activity and current financial status.	OFM	Auditor's/ Comptroller's Office	Health Dist/Dept	5 years	no	no	
2.	STATE AND FEDERAL AUDITOR'S REPORTS Documents results of state and federal audits.	OFM	State Auditor Federal Auditor	Health Dist/Dept	5 years	no	no	
3.	BUDGET FILES Includes budget requests, revisions appropriations and control reports	OFM	County Auditor/ City Comptroller	DSHS Health Dist/Dept	3 years after state audit	no	no	
4.	RENTAL RECEIPTS Receipts for car rentals, equipment rental, building and facility rental and motor pool receipts	OFM	County Auditor/ City Comptroller	Health Dist/Dept	2 years after state audit	no	no	Preliminary accounting done by Health Dist/Dept then originals transferred to County Auditor or City Comptroller. Copies held by Health Dist/Dept.
5.	RECORD OF CASH RECEIPTS Documents receipt of payment for treatment and services from patients, insurance companies, health plans and other payment plans.	OFM	County Auditor/ City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks above

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-5	PAGE 2 OF 3 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Business Office	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
6.	BILLINGS Statement of monies owed by patients, insurance companies, health plans, etc.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after paid and after state audit	no	no	see remarks, #4
7.	CHECK REGISTERS Shows disposition of checks.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks, #4
8.	CREDIT/COLLECT CORRESPONDENCE Correspondence with creditors and vendors concerning accounts.	OFM	Health Dist/Dept	none	2 years	no	no	
9.	DEPOSIT SLIPS Deposits made to bank.	OFM	Health Dist/Dept	County Auditor/City Comptroller	2 years after state audit	no	no	
10.	EXPENDITURE REGISTER Record of expenditures for operations, equipment, supplies and personnel.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks, #4
11.	EXPENDITURE REPORTS Reports to DSHS, County Auditor, City Comptroller, Board of Health and others.	OFM	Health Dist/Dept	DSHS County Auditor/City Comptroller Board of Health and others	2 years after state audit	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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17



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER	PAGE 3 OF 3 PAGES
HD-1-5	

SCHEDULE TITLE	SCHEDULE APPLICABLE TO	EFFECTIVE DATE
Local Health Districts and Departments	Administrative/Business Office	1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
12.	ACCOUNTING LEDGERS Accounting ledgers documenting balance of receipts and expenditures.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks, #4
13.	VOUCHERS Invoice vouchers, disbursement vouchers, payroll vouchers, travel vouchers and others.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks, #4
14.	VOUCHER REGISTER Register of vouchers submitted for payment.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	see remarks, #4
15.	PATIENT ACCOUNT FILES Record of individual patient accounts.	OPR	Health Dist/Dept	none	7 years	no	no	
16.	FEE AND SALARY SCHEDULES Schedules of fees charged for specific services, and pay scale for each employee position.	OFM	Health Dist/Dept	DSHS County Auditor/City Comptroller	Until superseded	no	no	

SUPERSEDED

18

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-6	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Equipment and Supplies	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	ANNUAL INVENTORY Annual inventory of equipment and supplies.	OFM	Health Dist/Dept	County Auditor/City Comptroller	Until after state audit	no	no	
2.	DEPRECIATION RECORDS Records of depreciation of capital equipment for reference in replacement.	OFM	Health Dist/Dept	none	Life of equipment	no	no	
3.	PURCHASE ORDERS Orders for the purchase of equipment and supplies.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	
4.	PURCHASE REQUISITIONS Requisitions for equipment and supplies.	OFM	County Auditor/City Comptroller	Health Dist/Dept	2 years after state audit	no	no	
5.	RECEIVING REPORT Log of items of equipment and supplies received.	OFM	Health Dist/Dept	none	2 years after state audit	no	no	
6.	CATALOGUES AND MANUALS Manufacturers catalogues and manuals.		Non-record material		as needed	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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19



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-1-7	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Administration/Policies and Planning	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	POLICIES AND PROCEDURES Health District/Department-generated policies and procedures for administrative, nursing and environmental health personnel.	OFM	Health Dist/Dept	none	Until superseded	no	no	
2.	POLICIES AND PROCEDURES Directives and guidelines from DSHS, local Board of Health, HEW, Board of Commissioners, City Council and other agencies.	OFM	Agency of origin	Health Dist/Dept	Until superseded	no	no	
3.	PROGRAM PLANS Self-generated plans for implementing specific programs.	OFM	Health Dist/Dept	varies	2 years after program completion	no	no	
4.	PROGRAM PLANS Program plans from other agencies for the implementation of specific programs.	OFM	DSHS, local Board of Health, HEW, or other agencies	Health Dist/Dept	2 years after program completion	no	no	

SUPERSEDED

20

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-2-1	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Vital Statistics					Rev. 27 June 1980	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	VITAL STATISTICS CERTIFICATES/First Class City-County Health Districts Sources for making official copies for public use as per the authority of First Class City-County Health Districts. a. Birth Certificates b. Death Certificates c. Fetal Death Certificates d. Burial, Cremation & Transit Certs e. Correction Authorizations	OPR	DSHS (Vital Records)	Health Dist/Dept	perma- nent*	no	yes	*Birth Certificates created prior to the designation of the district as a first class district should be transferred to the custody of DSHS Vital Records as per the retention period for item #2 below. The district does not have authority to provide copies of such certificates for public use. Also, these pre-first class certificate copies contain information that is often seriously out of date.
2.	VITAL STATISTICS CERTIFICATES/Non-First Class Health Districts & Depts Custodial copies of certificates sent to DSHS by districts or departments not authorized to make official copies for public use. a. Birth Certificates b. Death Certificates c. Fetal Death Certificates d. Burial, Cremation & Transit Certs e. Correction Authorizations	OFM	DSHS (Vital Records)	Health Dist/Dept	2 years, then transfer to DSHS Vital Statistics	no	no	
3.	INDEXES TO VITAL STATISTICS CERTIFICATES	OFM	Health Dist/Dept	None	until disposal of certs	no	yes*	*Film only indexes to permanent certificates.
4.	INTERMENT & REINTERMENT CERTIFICATES	OPR	DSHS	Health Dist/Dept	7 years	no	no	
5.	VITAL STATISTICS CORRESPONDENCE	OFM	Health Dist/Dept	None	2 years	no	no	

SUPERSEDED

21

FOR THE ATTORNEY GENERAL

FOR THE STATE AUDITOR

FOR THE STATE ARCHIVIST

Conrad K. Thorne

[Signature]

Richard J. Medford



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER
HD-3-1

PAGE 1 OF 1 PAGES

SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Nursing Administration/Dental Health					1 August 1977	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	DENTAL HEALTH SCREENING PROGRAM Records of screening programs conducted in the health clinic, local schools and for other agencies. Includes diagnosis, records of consultations and referrals.	OFM	Health Dist/Dept	Participating agency	2 years	no	no	
2.	REMEDIAL PROGRAM RECORDS Records of remedial programs for dental health including policies, procedures, data on implementation and reports and conclusions.	OFM	Health Dist/Dept	none	2 years after program completion	no	no	
3.	PATIENT TREATMENT FILES All records of treatment of individual patients including parental request forms, records of fluoride and plaque treatment and all other pertinent data.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL

FOR THE STATE AUDITOR

FOR THE STATE ARCHIVIST

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-3-2	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Nursing Administration/Family Planning	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	FAMILY PLANNING PROGRAM RECORDS Policies, procedures, and directives from DSHS, HEW and other agencies.	OFM	Health Dist/Dept	DSHS, HEW	2 years after program completion	no	no	
2.	PATIENT RECORDS Patient files including examinations, prescriptions, medication, birth control pills or devices dispensed, consultation records and records of any other treatment in connection with family planning programs.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
3.	REFERRALS Referrals to private physicians or another agency.	OFM	Health Dist/Dept	none	2 years	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-3-3	PAGE 1 OF 4 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Nursing Administration/Maternal and Child Health	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	WIC NUTRITIONAL PROGRAM RECORDS WIC (Women, Infants and Children) program policies and procedures, and other records documenting the implementation of the WIC program.	OFM	Health Dist/Dept	HEW DSHS	2 years after program completion	no	no	
2.	WIC PATIENT RECORDS Patient files including records of examinations, prescriptions, medication dispensed, treatment, consultations and referrals.	OPR	Health Dist/Dept	none	10 years after last treatment 3 years after age of majority	no	no	
3.	SUMMARY OF NUTRITION PROGRAMS Activity data and program files concerning nutrition programs.	OFM	Health Dist/Dept	DSHS HEW	2 years	no	no	
4.	CRIPPLED CHILDREN REGISTER Annual roster of crippled children served by the Health Dist/Dept.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
5.	CRIPPLED CHILDREN CLINIC RECORDS All records of consultations, treatment and referrals.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**

REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-3-3	PAGE 2 OF 4 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Nursing Administration/Maternal and Child Health	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
6.	HEARING CONSERVATION SCREENING AND REFERRALS Results of screening programs to determine hearing loss in Children and a record of consultations and referrals.	OFM	Health Dist/Dept	Participating school	2 years	no	no	
7.	SIGHT CONSERVATION SCREENING AND REFERRALS Results of screening programs to determine visual impairments and a record of consultations and referrals.	OFM	Health Dist/Dept	Participating school	2 years	no	no	
8.	WELL CHILD PROGRAM PATIENT RECORDS Patient records including results of examinations, record of consultations, treatment and referrals, immunization records, and all other records pertinent to a complete medical file.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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25



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-3-3	PAGE 3 OF 4 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Nursing Administration/Maternal and Child Health	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
9.	PHENYLKETONURIA CASE FILES Patient history and family history of PKU patient. Includes all records of examinations and treatment.	OPR	Health Dist/Dept	DSHS	permanent	no	no	
10.	CHILD MENTAL HEALTH STUDY AND GUIDANCE PROGRAMS Screening, consultation and referral programs conducted for schools, child care facilities and for individual children.	OPR	Health Dist/Dept	Participating school	2 years	no	no	
11.	MATERNITY PATIENT RECORDS Clinic records of examinations, consultations, treatment and referrals.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
12.	CHILD NEGLECT OR ABUSE REPORTS Report of abuse or neglect of child or mentally retarded adult. Records documentation of abuse and follow-up.	OFM	Health Dist/Dept	DSHS	2 years	no	no	

SUPERSEDED

26

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-3-3	PAGE 4 OF 4 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Nursing Administration/Maternal and Child health	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
13	RHEUMATIC FEVER CONTROL CASE RECORDS Case records of instances of Rheumatic fever including examinations, consultations, treatment, referrals and all other pertinent records.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
14	SUMMARIES OF CASES AND TREATMENT Summaries of maternal and child health cases, treatment given and drugs dispensed.	OPM	Health	DSHS	1 year	no	no	

SUPERSEDED

27

FOR THE ATTORNEY GENERAL <i>[Signature]</i>	FOR THE STATE AUDITOR <i>[Signature]</i>	FOR THE STATE ARCHIVIST <i>[Signature]</i>
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER
HD-3-4

PAGE 1 OF 7 PAGES

SCHEDULE TITLE: Local Health Districts/Departments

SCHEDULE APPLICABLE TO: Nursing Administration/Adult Health

EFFECTIVE DATE: 1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	ALCOHOLISM SCREENING RECORDS Records of screening programs including test results, diagnosis, and recommendations.	OFM	Health Dist/Dept	none	2 years	no	no	
2.	ALCOHOLISM PATIENT TREATMENT RECORDS Patient records including patient history, record of interviews, correspondence, record of treatment, Voluntary Commitment Order, and all other records pertaining to the treatment of the patient.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
3.	SUMMARY OF ALCOHOLISM TREATMENT Summary sent to DSHS documenting Health Dist/Dept activity.	OFM	Health Dist/Dept	DSHS	1 year	no	no	
4.	CANCER SCREENING RECORDS Records of x-ray, cytology, sputum cytology and other screening programs, including test results, diagnosis and recommendations.	OFM	Health Dist/Dept	DSHS	2 years	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL: *James H. [Signature]*

FOR THE STATE AUDITOR: *Daniel R. [Signature]*

FOR THE STATE ARCHIVIST: *Richard M. [Signature]*

28



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-3-4	PAGE 2 OF 7 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Nursing Administration/Adult Health					1 August 1977	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
4.	CANCER PATIENT TREATMENT RECORDS Patient records including patient history, correspondence, record of interviews and record of treatment.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
5.	SUMMARY OF CANCER SCREENING AND TREATMENT Summary sent to DSHS documenting Health Dist/Dept activity.	OFM	Health Dist/Dept	DSHS	1 year	no	no	
6.	CARDIAC SCREENING AND SUSPECT RECORDS Test results, diagnosis, recommendations and referrals.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
7.	HYPERTENSION SCREENING AND SUSPECT RECORDS Test results, diagnosis, recommendations and referrals.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
8.	DIABETES SCREENING AND SUSPECT RECORDS Test results, diagnosis, recommendations and referrals.	OFM	Health Dist/Dept	DSHS	2 years	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL

FOR THE STATE AUDITOR

FOR THE STATE ARCHIVIST

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER
HD-3-4

PAGE 3 OF 7 PAGES

SCHEDULE TITLE: Local Health District/Departments

SCHEDULE APPLICABLE TO: Nursing Administration/Adult Health

EFFECTIVE DATE: 1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
9.	DIABETES PATIENT TREATMENT RECORDS Patient records including patient history, correspondence, record of interviews, diagnosis, treatment and medication prescribed or dispensed.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
10	GLAUCOMA SCREENING AND SUSPECT RECORDS Test results, diagnosis, recommendations and referrals.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
11	TUBERCULOSIS SCREENING AND SUSPECT RECORDS Records of screening programs including x-rays, test results, diagnosis, recommendations and referrals.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
12	T.B. CASE AND CONTACT REGISTER Register of active and inactive cases with lists of contacts.	OFM	Health Dist/Dept	DSHS	2 years	no	no	

SUPERSEDED

30

FOR THE ATTORNEY GENERAL: *[Signature]*

FOR THE STATE AUDITOR: *[Signature]*

FOR THE STATE ARCHIVIST: *[Signature]*



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**

REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER	PAGE 4 OF 7 PAGES
HD-3-4	

SCHEDULE TITLE	SCHEDULE APPLICABLE TO	EFFECTIVE DATE
Local Health Districts/Departments	Nursing Administration/Adult Health	1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
13.	T.B. PATIENT TREATMENT RECORDS Patient records including patient history, record of interviews, correspondence, record of treatment, record of hospitalization, family roster, and all other records pertaining to the case.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
14.	SUMMARY OF T.B. TREATMENT Reports to DSHS on active and inactive T.B. cases in each county.	OFM	Health Dist/Dept	DSHS	1 year	no	no	
15.	VENEREAL DISEASE SCREENING AND SUSPECT RECORDS Record of screening programs including test results and treatment prescribed and recommended.	OFM	Health Dist/Dept	none	2 years	no	no	
16.	V.D. CASE AND CONTACT REGISTER Register of infected patients and lists of contacts.	OFM	Health Dist/Dept	DSHS	2 years after Completion of investigations.	no	no	

SUPERSEDED

FOR THE ATTORNEY GENERAL
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FOR THE STATE AUDITOR
[Signature]

FOR THE STATE ARCHIVIST
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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**

REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER
HD-3-4

PAGE 5 OF 7 PAGES

SCHEDULE TITLE: Local Health District/Departments

SCHEDULE APPLICABLE TO: Nursing Administration/Adult Health

EFFECTIVE DATE: 1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
17	V.D. PATIENT TREATMENT RECORDS Patient records including patient history, record of interviews, correspondence, record of treatment, and all other records pertaining to the case.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
18	INFECTIOUS SYPHILIS EPIDEMIOLOGIC CONTROL RECORD Record of V.D. epidemiologic investigations.	OFM	Health Dist/Dept	DSHS	2 years	no	no	
19	V.D. CASE REPORTS Summary of current case files including diagnosis, disease stage, demographic data, location of infected patient, and other pertinent information.	OFM	Health Dist/Dept	DSHS	1 year	no	no	
20	METHADONE TREATMENT RECORDS Record of treatment under methadone treatment program.	OPR	Health Dist/Dept	DSHS	10 years after last treatment and 3 years after age of majority	no	no	

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32



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER
HD-3-4

PAGE 6 OF 7 PAGES

SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health District/Department		Nursing Administration/Adult Health						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
21	MENTAL HEALTH TREATMENT RECORDS Patient files including data sheet, family and patient history, patient's adjustment record, record of treatment and psychiatric reports.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority	no	no	
22	HOME NURSING REGISTER RECORD Record of home nursing visits and treatment dispensed.	OPR	Health Dist/Dept	DSHS	10 years after last treatment and 3 years after age of majority	no	no	
23	RECORD OF PHYSICAL EXAMS Records of physical exams for county and city employees, school children, jail inmates, court referrals and others.	OPR	Health Dist/Dept	contracting agency/institution	10 years or 3 years after age of majority	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-3-4	PAGE 7 OF 7 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Nursing Administration/Adult Health					1 August 1977	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
24.	FAMILY PRACTICE RECORDS Patient records grouped together by family. Includes patient histories, record of illness and treatment, record of medication, prescriptions and referrals, family data sheet, and all other records pertinent to a complete family medical record.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority.	no	no	
25.	PATIENT TREATMENT RECORDS All patient treatment files not listed specifically. Files include patient history, diagnosis, record of interviews, correspondence, record of treatment, record of medication, prescriptions and referrals, and all other records pertinent to the case.	OPR	Health Dist/Dept	none	10 years after last treatment and 3 years after age of majority.	no	no	

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34



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-3-5	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health District/Departments		Nursing Administration/Communicable Disease						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	BIOLOGICS Distribution and inventory record of drugs used in disease control.	OPR	Health Dist/Dept	DSHS	7 years	no	no	
2.	CASE REPORTS Chronological record of cases reported.	OPR	Health Dist/Dept	DSHS	7 years	yes	no	
3.	STATISTICAL REPORTS Statistical record of the prevalence and nature of disease outbreaks.	OPR	Health Dist/Dept	DSHS	7 years	yes	no	
4.	TYPHOID FEVER CARRIER RECORDS AND AGREEMENTS Records of carriers of typhoid fever and agreements signed by them in regard to disease control.	OPR	Health Dist/Dept	DSHS	until 7 years after carrier is known to be deceased	no	no	
5.	EPIDEMIOLOGIC RECORDS AND REPORTS Records and reports of disease outbreak, response, treatment methods used and demographic data.	OPR	Health Dist/Dept	DSHS	7 years	yes	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-3-6	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE			SCHEDULE APPLICABLE TO					EFFECTIVE DATE
Local Health District/Department			Nursing Administration/Health Education					1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	DIRECTORY FILES Sources of materials for health education programs.		Non-record	material	as need- ed	no	no	
2.	PROGRAM RECORDS Records of specific health education programs.	OPR	Health Dist/Dept	none	7 years after program comple- tion	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER	PAGE 1 OF 1 PAGES
HD-3-7-	

SCHEDULE TITLE	SCHEDULE APPLICABLE TO	EFFECTIVE DATE
Local Health Districts/Departments	Nursing Administration/Clinic	1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVED	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	CLINIC OPERATING RECORDS Record of patients seen, clinicians used and operational costs.	OPR	Health Dist/Dept	DSHS	7 years	no	no	
2.	MEDICATION LOGS Record of drugs dispensed in clinic operations.	OPR	Health Dist/Dept	DSHS	7 years	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-4-1	PAGE 1 OF 2 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Environmental Health/Health Inspections	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	INSPECTION REPORTS Inspections of all public and private establishments to ensure compliance with state and local health regulations.	OPR	Health Dist/Dept	none	7 years	no	no	
2.	AIR POLLUTION REPORTS Readings of air pollution levels.	OPR	Health Dist/Dept	Dept. of Ecology	7 years	no	no	
3.	REFUSE DISPOSAL Inspections of solid waste disposal sites.	OPR	Health Dist/Dept	Dept. of Ecology DSHS	7 years	no	no	
4.	SEWER INSPECTIONS Inspections of municipal sewer systems.	OPR	Health Dist/Dept	DSHS Dept. of Ecology	7 years	no	no	
5.	WATER-PUBLIC AND PRIVATE Inspections of both public and private water supplies and sources with regard to piping and distribution as well as water quality analysis (see lab reports).	OPR	Health Dist/Dept	Dept. of Ecology DSHS	7 years	no	no	
6.	DAIRY AND FOOD INSPECTIONS Inspections of dairies and food processing plants.	OPR	Health Dist/Dept	DSHS	7 years	no	no	

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38

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24-050

DISPOSITION AUTHORITY NUMBER HD-4-1	PAGE 2 OF 2 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Environmental Health/Health Inspections						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
7.	PARKS AND RECREATIONAL FACILITIES Inspections of city and county parks and outdoor recreational facilities.	OPR	Health Dist/Dept	none	7 years	no	no	
8.	ESTABLISHMENT REGISTER Listings of business establishments within the agency's jurisdiction and subject to periodic inspection.	OFM	Health Dist/Dept	none	until superseded	no	no	
9.	VECTOR CONTROL Inspections for rodent infestation and for other disease-carrying animals and organisms.	OPR	Health Dist/Dept	DSHS	7 years	no	no	

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39

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-4-2	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Environmental Health/Food Inspections						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	MEAT INSPECTIONS Includes: Carcass Inspection Reports, Meat Plant Inspection Reports and Meat Vehicle Inspection Reports.	OPR	Health Dist/Dept	DSHS	7 years	no	no	
2.	DAIRY INSPECTIONS Includes sanitation, disease control, bacteria counts, animal infections, radioactivity levels in products and records of disease.	OPR	Health Dist/Dept	DSHS	7 years	no	no	
3.	INSPECTIONS OF OTHER FOOD PRODUCTS Inspections and lab analysis of food in processing plants, retail establishments, restaurants and others.	OPR	Health Dist/Dept	DSHS	7 years	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-4-3	PAGE 1 OF 3 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Environmental Health/Buildings and Property						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	FHA INSPECTIONS Inspections of houses conducted for the Federal Housing Authority.	OPR	FHA	Health Dist/Dept	7 years	no	no	
2.	CONDEMNATION ORDERS Records of buildings condemned as being unsafe or otherwise not in compliance with local ordinances.	OPR	City/County Engineer	Health Dist/Dept County Assessor	7 years	no	no	
3.	DEMOLITION ORDERS Orders for the demolition of unsafe structures.	OPR	City/County Engineer	Health Dist/Dept	7 years	no	no	
4.	PERK TESTS Perk tests for public and private land to determine suitability for septic tank installation.	OPR	Health Dist/Dept	none	7 years	no	no	
5.	SEPTIC TANK APPROVALS AND PERMITS Permits and approvals for the installation of septic tanks. Includes diagrams of pipe installations and location of septic tank.	OPR	Health Dist/Dept	none	permanent until superseded	no	no	
6.	GAS PIPING PERMITS Permits to install gas piping. Includes piping diagrams.	OPR	Health Dist/Dept	Contractor	7 years	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-4-3	PAGE 2 OF 3 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO					EFFECTIVE DATE	
Local Health Districts/Departments		Environmental Health/Buildings and Property					1 August 1977	
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVET	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
7.	PLUMBING PERMITS Permits to install plumbing.	OPR	Health Dist/Dept	Contractor	7 years	no	no	
8.	PRIVATE WATER SUPPLY APPROVALS Approvals of wells, streams, lakes and other water supply sources and filtering and treatment installation.	OPR	Health Dist/Dept	Owner	7 years	no	no	
9.	BUILDING PLAN APPROVALS Approvals of plans for new buildings and homes and of plans for additions and alterations.	OPR	Health Dist/Dept	Contractor	7 years	no	no	
10.	PERMITS AND APPROVALS All other permits and approvals pertaining to buildings and property including permits and approvals for: animal shelters, stables, stockyards, camps (summer, labor, penal, church, etc.), boarding homes, dairies, food processing plants, hospitals, nursing homes, homes for the aged, hotels, dormitories, resorts, schools, etc.	OPR	Health Dist/Dept	varies	7 years	no	no	
11.	ORDINANCES IN EFFECT City, county, state and federal ordinances regarding buildings and property standards.	OFM	varies	Health Dist/Dept	until superseded	no	no	

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42

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James H. [Signature]

Daniel [Signature]

Shirley [Signature]



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER
HD-4-3

PAGE 3 OF 3 PAGES

SCHEDULE TITLE: Local Health Districts/Departments

SCHEDULE APPLICABLE TO: Environmental Health/Buildings and Property

EFFECTIVE DATE: 1 August 1977

ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
12.	PERMIT AND APPROVAL SUMMARIES Record of permits and approvals issued.	OFM	Health Dist/Dept	DSHS	permanent	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-4-4	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Environmental Health/Complaints, Investigations & Reports						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	COMPLAINTS FILED Files of complaints submitted to the environmental health division. Includes nature of report, record of investigations and results.	OPR	Health Dist/Dept	none	7 years	no	no	
2.	COMPLAINTS RESULTING IN COURT ACTION Files of complaints resulting in court action or used as evidence in court cases.	OPR	Health Dist/Dept	appropriate court	7 years	yes	no	
3.	NUISANCE REPORT LOG Record of nuisance reports logged.	OFM	Health Dist/Dept	none	2 years	no	no	
4.	FOOD POISONING COMPLAINTS AND INVESTIGATIONS Files of food poisoning complaints, results of investigations and actions taken.	OPR	Health Dist/Dept	DSHS	7 years	no	no	

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44

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-4-5	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Environmental Health/Licenses	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	FOOD HANDLER LICENSES ISSUED Register of food handlers licensed by the agency.	OFM	Health Dist/Dept	none	until expired or superseded	no	no	
2.	ALL OTHER LICENSES ISSUED BY THE AGENCY Registers of all other licenses issued by the agency.	OFM	Health Dist/Dept	none	until expired or superseded	no	no	

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45

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-4-6	PAGE 1 OF 1 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Environmental Health/Animal Diseases						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	ANIMAL BITE REPORTS Log of reports of animal bites.	OFM	Health Dist/Dept	none	3 years	no	no	
2.	INVESTIGATION REPORTS Records of investigations of rabies or other diseases.	OPR	Health Dist/Dept	none	7 years	no	no	
3.	TREATMENT RECORDS Treatment of diseased animals.	OPR	Health Dist/Dept	none	7 years	no	no	
4.	EPIDEMIOLOGIC RECORDS Records of outbreaks of salmonella, tularema, undulant fever and other communicable diseases.	OPR	Health Dist/Dept	DSHS	7 years	yes	no	

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46



**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414-24-050

DISPOSITION AUTHORITY NUMBER HD-5-1	PAGE 1 OF 3 PAGES
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SCHEDULE TITLE Local Health Districts/Departments	SCHEDULE APPLICABLE TO Laboratory	EFFECTIVE DATE 1 August 1977
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ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILMT	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
1.	MICROBIOLOGY REPORTS Reports of patient specimen analysis.	OFM	Health Dist/Dept	none	7 years	no	no	
2.	SEROLOGY REPORTS Reports of patient specimen analysis.	OFM	Health Dist/Dept	none	7 years	no	no	
3.	HEMOTOLOGY REPORTS Reports of patient specimen analysis.	OFM	Health Dist/Dept	none	7 years	no	no	
4.	URINALYSIS REPORTS Reports of patient specimen analysis.	OFM	Health Dist/Dept	none	7 years	no	no	
5.	GONORRHEA REPORTS Reports of analysis of smears and cultures.	OFM	Health Dist/Dept	none	7 years	no	no	
6.	T. B. REPORTS Reports of patient specimen analysis.	OFM	Health Dist/Dept	none	7 years	no	no	
7.	COMMUNICABLE DISEASE REPORTS Analysis of smears and cultures for evidence of infection.	OFM	Health Dist/Dept	none	7 years	no	no	
8.	MYCOLOGY REPORTS Reports of fungus examinations.	OFM	Health Dist/Dept	none	7 years	no	no	

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**GENERAL RECORDS RETENTION SCHEDULE
& DESTRUCTION AUTHORIZATION**
REFERENCE: RCW 40.14.070 & WAC 414.24.050

DISPOSITION AUTHORITY NUMBER HD-5-1	PAGE 2 OF 3 PAGES
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SCHEDULE TITLE		SCHEDULE APPLICABLE TO						EFFECTIVE DATE
Local Health Districts/Departments		Laboratory						1 August 1977
ITEM NO.	RECORDS SERIES TITLE & DESCRIPTION	OPR OR OFM	RECORDS LOCATION		RETENTION PERIOD	ARCHIVE?	MICRO-FILM?	DISPOSITION/REMARKS
			PRIMARY COPY	OTHER COPIES				
9.	DAIRY PRODUCT EXAMINATION REPORTS Analysis of dairy products for excessive bacteria levels and for impurities.	OFM	Health Dist/Dept	none	7 years	no	no	
10.	FOOD CHEMISTRY REPORTS Analysis of food products for impurities.	OFM	Health Dist/Dept	none	7 years	no	no	
11.	WATER REPORTS Analysis of water samples	OFM	Health Dist/Dept	none	7 years	no	no	
12.	EXAMINATIONS FOR OTHER AGENCIES Examinations made for other agencies such as police and fire departments.	OFM	Health Dist/Dept	agency requesting examination	7 years	no	no	
13.	VIROLOGY REPORTS Animal head examinations	OFM	Health Dist/Dept	none	7 years	no	no	
14.	LAB SEROLOGIC SPECIMEN SLIPS Reports of serologic reactors and demographic data.	OFM	Health Dist/Dept	DSHS	7 years	no	no	
15.	DIAGNOSTIC LAB REPORT SUMMARIES Record of data pertaining to lab tests performed on specimens submitted on patients, food products, etc.	OFM	Health Dist/Dept	DSHS	2 years	no	no	

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SECTION C: IMPLEMENTING A RECORDS RETENTION PROGRAM

Just as it is impossible to create Records Retention Schedules which are comprehensive and equally useful to all agencies, so it is impossible to provide instructions for implementing a Records Retention Program which works equally well for all offices. The following outline is designed to show how a Records Retention Program may be implemented on a step by step basis. The outline could be applied to the implementation of any Records Management Program and any of its steps may be modified to meet the specific needs of a local agency. They are not required by law, but are recommended management practices.

I. ESTABLISHING THE PROGRAM - STEP BY STEP

A. SUPPORT FROM THE TOP

The success of any program is dependent on top management support. If a Records Retention Program is to be a success in any agency, the official in charge must be aware of and support the program and its objectives.

B. APPOINTMENT OF A RECORDS OFFICER

A member of the administrative staff should be appointed as a "Records Officer" to oversee and account for the establishment and maintenance of the program.

C. NOTIFY STAFF OF PROGRAM INAUGURATION

A program announcement should be issued showing management support, announcing the appointment of a Records Officer and requesting staff cooperation. The example below has proven to be successful in many instances.

TO: All Departments -All Personnel

SUBJECT: Records Retention Program

It is the policy of this agency (or office) to encourage efficient records management practices. This policy will be manifested by compliance with the state law relative to the retention, disposal and protection of all agency (office) records.

It is believed that a formal Records Retention Program will help us in several ways. It develops effective guidelines for the timely disposal of obsolete records. It will reduce the need for additional file equipment, release present equipment and space for other uses, save time in records handling, and insure the preservation of essential and permanently valuable records.

To initiate and maintain an effective program, (Mr. Ms.) ~~XXXX~~ has been appointed as Records Officer and has my full support in this effort. It is requested that (he, she) be given your complete cooperation.

Agency Head or Official

D. APPOINT A RECORDS RETENTION COMMITTEE (optional)

In large agencies, a Records Retention Committee, consisting of high level administrators from key departments, can provide program direction to the Records Officer and give the program a sense of cooperative effort and authority that might be hard to achieve by the Records Officer alone.

E. ESTABLISH A RECORDS RETENTION MANAGEMENT FILE

A file containing the General Records Retention Schedules, Internal Working Schedules, GAA-24, "PUBLIC RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION" forms, State Records Management Handbooks, disposition affidavits, other forms and supplies incidental to a Records Retention Program should be maintained by the Records Officer and others who are responsible for records disposition.

F. ESTABLISH CONTACTS IN FUNCTIONAL AREAS

Records Coordinators should be designated in key functional areas. (This step applies especially to large agencies.) These people may be supervisors or secretarial personnel with substantial knowledge of the operation and records of their particular areas.

G. ESTABLISH FORMAL RECORDS RETENTION POLICIES & PROCEDURES

These policies and procedures should state the purpose of the program, who is affected by it, and agency policy regarding the program. They should define terms unique to the program, outline the responsibilities of each person or department affected, and explain the procedures for implementation. (See Appendix A)

H. PROCEED WITH INITIAL PROJECTS AND ESTABLISH CONTROLS FOR THE PROGRAM

1. Conduct orientation meetings with functional or departmental Records Coordinators, managers or other concerned persons.
2. The General Schedule should be broken down into sections relating to functional areas and be distributed to those areas for the use of the Records Coordinators.
3. The Records Coordinators, under the supervision of the Records Officer, should transfer the applicable listings from the General Schedule to Internal Working Schedules which should be applied directly to the actual disposition of agency records.
4. Apply the Internal Working Schedules to the disposition of obsolete records in the various functional areas, account for the volume of records disposed of, and establish a regularized procedure for records disposition so that the schedule is applied on a yearly basis. The initial disposition project should also be used to identify those Records Series which are not covered by the General Schedule. Those Records Series should be entered on a GAA-24 "PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION" form and be submitted to the Local Records Committee for approval.

5. If possible, establish a non-current records storage area which is separated from the active office usage area. The active reference life of most Records Series is usually not more than one or two years. Expensive office space and active files should not be burdened and obstructed by older records which do not require a high rate of reference.

For the purpose of facilitating the flow of inactive records to non-current storage, the Retention Period of each Records Series should be divided into active and non-current storage phases. Yearly file cutoffs should be established so that current storage to their ultimate disposition in mass quantities. The shift from active usage to non-current storage should take place on the same yearly basis as the records disposition process so that the flow of records into the non-current storage area is roughly equivalent to the flow of records leaving for their ultimate disposition.

II. PROGRAM MAINTENANCE

A. MONITOR IMPLEMENTATION

The Records Officer should see that the Records Retention Schedule is implemented and that inactive records are being transferred to non-current storage on an annual basis. A yearly records transfer and disposition report may be a useful device in this regard.

B. UPDATE RECORDS RETENTION SCHEDULES

The Internal Working Schedules should be audited annually to determine whether they should be updated to include new Records Series or whether their provisions should be amended to relate to new administrative needs and legal requirements.

III. COMPILE & REPORT PROGRAM RESULTS

A. STATISTICAL RESULTS

1. Amount of records storage equipment emptied for reuse through the program.
2. Volume of records on hand at beginning of report period.
3. Volume of records created.
4. Volume of obsolete records disposed of.
5. Net holdings at end of year.

B. COST SAVINGS

1. Cost of records storage equipment released for reuse.
2. Cost of floor space converted or released for reuse.
3. Clerical time saved by eliminating handling of inactive records.

APPENDIX A
POLICY & PROCEDURE
(Suggested Format and Content)

SUBJECT: RECORDS DISPOSITION MANAGEMENT

I. Purpose:

To establish the policy and procedure for the identification and systematic retirement and/or disposal of obsolete, inactive, semi-active and archival records from costly office space and equipment in accord with the provisions of RCW 40.14.

II. Divisions Affected

All Divisions.

III. Policy:

It is agency policy to promote efficient records management practices. It is desirable that all agency records be inventoried and analyzed for administrative, legal, financial and historical values to insure that:

1. only active records are retained in high cost office space.
2. valuable historical records are adequately preserved.
3. inactive and semi-active records are removed to low cost inactive records storage, and
4. obsolete and valueless records are effectively eliminated in accord with the provisions of RCW 40.14, to insure the efficient use of file equipment, office space and storage facilities.

IV. Definitions:

PUBLIC RECORDS:

As defined by RCW 40.14, the term "public records" shall include any paper, correspondence, form, book, photograph, film, sound recording, map drawing, or other document, regardless of physical form or characteristics, and including all copies thereof, that have been made by any agency of the State of Washington or received by it in connection with the transaction of public business.

RECORDS MANAGEMENT:

The application of administrative management techniques to insure the adequacy, propriety, essentiality and efficiency of documentation and records maintenance and disposition.

RECORDS DISPOSITION MANAGEMENT:

A records management technique aimed at the systematic, timely and effective disposal or removal of obsolete or inactive records from expensive office space and the effective but economical preservation of records of permanent value.

RECORDS OFFICER:

An individual appointed by appropriate authority to supervise and coordinate the District's Records Management Program, to serve as liaison with the Division of Archives and Records Management and to represent the agency before the Local Records Committee.

RECORDS COORDINATOR:

An individual assigned to a division of the agency who coordinates the Records Management Program between the Records Officer and the division in question.

Procedures and Responsibilities:

1. RECORDS OFFICER

- a. Coordinates the agency Records Management Program.
- b. Conducts Records Management Workshops with Records Coordinators and other agency personnel.
- c. Packages and distributes General Schedules to Records Coordinators.
- d. Serves as records liaison with the Division of Archives and Records Management.
- e. Represents the agency before the Local Records Committee in matters related to the disposal of agency records.
- f. Approves records retention schedule revisions and updates submitted by offices on GAA-24, Public Records Retention Schedule & Destruction Authorizations; consults with Records Coordinators regarding records retention and transfer recommendations for final disposition of records. Establishes primary Offices of Record and the location of official copies.
- g. Submits Schedule revisions to the Washington State Local Records Committee and distributes approved revisions returned from the Committee.
- h. Assists with physical disposal of records eligible for destruction.

2. RECORDS COORDINATOR (OFFICE OF RECORD)

- a. Supervises Records Disposition Management Program within a division.
- b. Maintains Records Management Files.
- c. Recommends records retention schedule revisions to the District Records Officer and prepares GAA-24, Public Records Retention Schedule & Destruction Authorizations, for Records Officer's approval.
- d. Monitors physical destruction of records eligible for disposal and sees that records retention schedules are updated and implemented annually.

3. DIVISION OF ARCHIVES AND RECORDS MANAGEMENT

- a. Provides agency Records Officer with forms, procedural instructions and materials for agency use.
- b. Presents program orientation and instructions to agency Records Officer and Records Coordinators upon request of agency Records Officer.

APPENDIX B

RCW 40.14 PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS -- STATE ARCHIVES

40.14.010 DEFINITION AND CLASSIFICATION OF PUBLIC RECORDS

As used in this chapter, the term "public records" shall include any paper, correspondence, form, book, photograph, film, sound recording, map drawing, or other document, regardless of physical form or characteristics, and including all copies thereof, that have been made by or received by any agency of the State of Washington in connection with the transaction of public business, and legislative records as described in RCW 40.14.100. For the purposes of this chapter, public records shall be classified as follows:

(1) Official Records (OPR) shall include all original vouchers, receipts and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use and disposition of all public property and public income from all sources whatsoever, all agreements and contracts to which the State of Washington or any agency thereof may be a party; all fidelity, surety and performance bonds; all claims filed against the State of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the State of Washington; all legislative records as defined in RCW 40.14.100; and all other documents or records determined by the Records Committee, hereinafter created, to be Official Public Records.

(2) Office Files and Memoranda (OFM) shall include all records, correspondence, exhibits, books, booklets, drawings, maps, blank forms, or documents not above defined and classified as Official Public Records; all duplicate copies of Official Public Records filed with any agency of the State of Washington; all documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and all other documents or records, determined by the Records Committee, hereinafter created, to be Office Files and Memoranda. (1971 First Extraordinary Session, Chapter 102, Section 1; 1957 Chapter 246, Section 1)

40.14.020 DIVISION OF ARCHIVES AND RECORDS MANAGEMENT - STATE ARCHIVIST - POWERS AND DUTIES - DUTIES OF PUBLIC OFFICIALS

All public records shall be and remain the property of the State of Washington. They shall be delivered by outgoing officials and employees to their successors and shall be preserved, stored, transferred, destroyed or disposed of, and otherwise managed, only in accordance with the provisions of this chapter. In order to insure the proper management and safeguarding of public records, the Division of Archives of the Department of General Administration is designated as the Division of Archives and Records Management, and, under the administration of the State Archivist, who shall have reasonable access to all public records, wherever kept, for purposes of information, surveying, or cataloguing, shall undertake the following functions, duties and responsibilities:

- (1) To manage the Archives of the State of Washington;
- (2) To centralize the Archives of the State of Washington, to make them available for reference and scholarship, and to insure their proper preservation;
- (3) To inspect, inventory, catalog, and arrange Retention and Transfer Schedules on all record files of all state departments and other agencies of state government;
- (4) To insure the maintenance and security of all state public records and establish safeguards against unauthorized removal or destruction.
- (5) To establish and operate such State Records Centers as may from time to time be authorized by appropriation, for the purpose of preserving, servicing, screening and protecting all state public records which must be preserved temporarily or permanently, but which need not be retained in office space and equipment.
- (6) To gather and disseminate to interested agencies information on all phases of records management and current practices, methods, procedures and devices for efficient and economical management of records.

RCW 40.14 PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS -- STATE ARCHIVES (continued)

(7) To operate a Central Microfilm Bureau which will microfilm, at cost, records approved for filming by the head of the office of origin and the Archivist, to approve microfilming projects undertaken by state departments and all other agencies of state government; and to maintain proper standards for this work.

(8) To maintain necessary facilities for the review of records approved for destruction and for their economical disposition by sale or burning; directly to supervise such destruction of public records as shall be authorized by the terms of this chapter. (1957 Chapter 246, Section 2)

40.14.030 TRANSFER TO STATE ARCHIVES - CERTIFIED COPIES, COST

All public records, not required in the current operation of the office where they are made or kept, and all records of every agency, commission, committee, or any other activity of state government which may be abolished or discontinued, shall be transferred to the State Archives so that the valuable historical records of the state may be centralized, made more widely available, and insured permanent preservation; PROVIDED, That this section shall have no application to public records approved for destruction under the subsequent provisions of this chapter.

When so transferred, copies of the public records concerned shall be made and certified by the Archivist, which certification shall have the same force and effect as though made by the officer in charge of them. Fees may be charged to cover the cost of reproduction. In turning over the archives of his office, the officer in charge thereof, or his successor, thereby loses none of his rights of access to them, without charge, whenever necessary. (1957 Chapter 246, Section 3)

40.140.040 RECORDS OFFICERS - TRANSFER SCHEDULES

Each department or other agency of the state government shall designate a Records Officer to supervise its records program and to represent the office in all contacts with the Records Committee, hereinafter created, and the Division of Archives and Records Management. The Records Officer shall:

- (1) Coordinate all aspects of the Records Management Program.
- (2) Inventory, or manage the inventory of all public records at least once during a biennium for disposition scheduling and transfer action, in accordance with procedures prescribed by the State Archivist and State Records Committee, PROVIDED, That Essential Records shall be inventoried and processed in accordance with Chapter 40.10 at least annually.
- (3) Consult with any other personnel responsible for maintenance of specific records within his state organization regarding records retention and transfer recommendations.
- (4) Analyze records inventory data, examine and compare divisional or unit inventories for duplication of records, and recommend to the State Archivist and State Records Committee minimal retentions for all copies commensurate with legal, financial and administrative needs.
- (5) Approve all records Inventory and Destruction Requests which are submitted to the Local Records Committee.
- (6) Review established Records Retention Schedules at least annually to insure that they are complete and current.
- (7) Exercise internal control over the acquisition of filming and file equipment.
- (8) Report annually all savings resulting from records disposition actions to his management, the State Archivist and the Office of Program Planning and Fiscal Management.

If a particular agency or department does not wish to transfer records at a time previously scheduled therefor, the Records Officer shall, within thirty days, notify the Archivist and request a change in such previously set schedule, including his reason therefor. (1973 Chapter 54, Section 3; 1957 Chapter 246, Section 4)

40.14.050 RECORDS COMMITTEE - COMPOSITION, MEETINGS, POWERS AND DUTIES - RETENTION SCHEDULES

There is created a committee, to be known as the Records Committee, composed of the Archivist, an appointee of the State Auditor, and an appointee of the Attorney General. Committee members shall serve without additional salary, but shall be entitled to traveling expenses incurred incident to committee records. Such expenses shall be paid from the appropriations made for their respective offices.

The Records Committee shall meet at least once every quarter or oftener as business dictates. Action by the Committee shall be by majority vote and records shall be kept of all Committee business.

It shall be the duty of the Records Committee to approve, modify or disapprove the recommendations on Retention Schedules of all files of public records and to act upon requests to destroy any public records, PROVIDED, That any modification of a request or recommendation must be approved by the agency originating the request or recommendation.

The Division of Archives and Records Management shall provide forms, approved by the Records Committee, upon which it shall prepare recommendations to the Committee in cooperation with the Records Officer of the department or other agency whose records are involved. (1957 Chapter 246, Section 5)

40.14.060 DESTRUCTION, DISPOSITION OF OFFICIAL PUBLIC RECORDS, OFFICE FILES AND MEMORANDA

Official Public Records shall not be destroyed until they are either photographed, microphotographed, photostated, or reproduced on film, or until they are seven years old, except on a showing of the department of origin, as approved by the Records Committee, that the retention of such records for a minimum of seven years is both unnecessary and uneconomical, particularly where lesser federal retention periods for records generated by the state under federal programs are involved; PROVIDED, That any lesser term of retention than seven years must have the additional approval of the Director of the Budget, the State Auditor and the Attorney General, except where records have federal retention guidelines, the State Records Committee may adjust the retention period accordingly; PROVIDED, FURTHER, That an automatic reduction of retention periods from ten to seven years as provided for in this 1973 amendatory section for Official Public Records shall not be made as to records on existing Records Retention Schedules but the same shall be reviewed individually by the Local Records Committee for approval or disapproval of the change to a retention period of seven years.

Recommendations for the destruction or disposition of Office Files and Memoranda shall be submitted to the Records Committee upon forms prepared by the Records Officer of the agency concerned and the Archivist. The Committee shall determine the period of time that any Office File or Memorandum shall be preserved and may authorize the Division of Archives and Records Management to arrange for its destruction or disposition. (1973 Chapter 54, Section 4; 1957 Chapter 246, Section 6)

40.14.070 DESTRUCTION OF LOCAL GOVERNMENT RECORDS - PRESERVATION FOR HISTORICAL INTEREST - LOCAL RECORDS COMMITTEE, DUTIES

County, municipal, and other local government agencies may request authority to destroy noncurrent public records having no further administrative or legal value by submitting to the Division of Archives and Records Management, lists of such records, in triplicate on forms prepared by the Division. The Archivist and the Chief Examiner of Municipal Corporations of the Office of the State Auditor and a representative appointed by the Attorney General shall constitute a committee to be known as the Local Records Committee which shall review such lists, and

40.14.070 DESTRUCTION OF LOCAL GOVERNMENT RECORDS - PRESERVATION FOR HISTORICAL INTEREST - LOCAL RECORDS COMMITTEE, DUTIES (continued)

may veto the destruction of any or all items contained therein.

A local government agency, as an alternative to submitting lists, may elect to establish a records control program based on recurring Disposition Schedules recommended by the agency to the Local Records Committee. The Schedules are to be submitted on forms provided by the Division of Archives and Records Management to the Local Records Committee, which may either veto, approve, or amend the Schedule. Approval of such Schedule or amended Schedule shall be by unanimous vote of the Local Records Committee. Upon such approval, the Schedule shall constitute authority for the local government agency to destroy the records listed thereon, after the required retention period, on a recurring basis until the Schedule is either amended or revised by the Committee.

No public record other than Office Files and Memoranda of any local government agency shall be destroyed until it is either photographed, microphotographed, photostated, or reproduced on film, or until it is seven years old, and except as otherwise provided by law no public record shall be destroyed until approved for destruction by the Local Records Committee; PROVIDED, That where records have federal retention guidelines the Local Records Committee may adjust the retention period accordingly; PROVIDED, FURTHER, That an automatic reduction of retention periods from ten to seven years as provided for in this 1973 amendatory section for Official Public Records shall not be made as to records on existing Records Retention Schedules but the same shall be reviewed individually by the Local Records Committee for approval or disapproval of the change to a retention period of seven years.

The State Archivist may furnish appropriate information, suggestions, and guidelines to local government agencies for their assistance in the preparation of lists and Schedules or any other matter relating to the retention, preservation, or destruction of records under this chapter. The Local Records Committee may adopt appropriate regulations establishing procedures to be followed in such matters.

Records of county, municipal, or other local government agencies, designated by the Archivist as of primarily historical interest, may be transferred to a recognized depository agency selected by the Archivist, in order to relieve local offices of the burden of housing them, to insure their preservation, and to make them available for reference or study. (1973 Chapter 54, Section 5; 1971 First Extraordinary Session Chapter 10, Section 1; 1957 Chapter 246, Section 7)

40.14.080 CHAPTER NOT TO AFFECT OTHER LAWS

The provisions of this chapter shall not be construed as repealing or modifying any other acts or parts of acts authorizing the destruction of public records save for those specifically named in Section 9 of this act; nor shall this chapter affect the provisions of RCW 40.04.020 requiring the deposit of all state publications in the State Library. (1957 Chapter 246, Section 8)

APPENDIX C

LEGAL STATUS OF MICROFILM

The United States Congress has provided for the acceptability of microfilm copies of records as primary evidence in Federal Court proceedings. This was done in Section 1732 of Public Law 129, 82nd Congress. This provision has been accepted by the Legislature of the State of Washington and appears in the Revised Code of Washington as quoted below.

UNIFORM PHOTOGRAPHIC COPIES OF BUSINESS AND PUBLIC RECORDS AS EVIDENCE (RCW 5.46.010)

If any business, institution, member of a profession or calling or any department of agency of government, in the regular course of business or activity has kept or recorded any memorandum, writing, entry, print, representation or combination thereof, of any act, transaction, occurrence or event, and in the regular course of business has caused any or all of the same to be recorded, copied or reproduced by any photographic, photostatic, microfilm, microcard, miniature photographic, or other process which accurately reproduces or forms a durable medium for so reproducing the original, the original may be destroyed in the regular course of business unless the same is an asset or is representative of (the) title to an asset held in a custodial or fiduciary capacity or unless its preservation is required by law. Such reproduction, when satisfactorily identified, is as admissible in evidence as the original itself in any judicial or administrative proceeding whether the original is in existence or not and an enlargement or facsimile of such reproduction is likewise admissible in evidence if the original reproduction is in existence and available for inspection under the direction of court. The introduction of a reproduced record, enlargement or facsimile, does not preclude the admission of the original.