

**This schedule applies to: Health Departments and Districts**

**Scope of records retention schedule**

This records retention schedule covers the public records of **public health departments and districts** relating to the functions of promoting public health, managing vital records, providing health care and treatment, conducting research, and other activities pursuant to [title 70 RCW](#). It is to be used in conjunction with the [Local Government Common Records Retention Schedule \(CORE\)](#), which authorizes the destruction/transfer of public records common to all local government agencies (<http://www.sos.wa.gov/archives/recordsmanagement/UsingtheLocalGovernmentCommonRecordsRetentionScheduleCORE.aspx>).

**Disposition of public records**

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

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

In addition to the minimum retention requirements specified in this schedule, there may be additional (longer) retention requirements mandated by federal, state and/or local statute, grant agreement, and/or other contractual obligations.

**Revocation of previously issued records retention schedules**

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

**Authority**

This records retention schedule was approved by the Local Records Committee in accordance with [RCW 40.14.070](#) on August 20, 2015.

*Signature on File*

**For the State Auditor: Cindy Evans**

*Signature on File*

**For the Attorney General: Matt Kernutt**

*Signature on File*

**The State Archivist: Steve Excell**

## REVISION HISTORY

| Version | Date of Approval | Extent of Revision  |
|---------|------------------|---|
| 1.0     | December 1999    | Initial version.  |
| 2.0     | July 2001        | Major revision.   |
| 3.0     | March 26, 2009   | Name changed from <i>“Health Districts and Departments”</i> to <i>“Health Departments and Districts”</i> . Records series common to all local government agencies now appear in the new <i>Local Government Common Records Retention Schedule (CORE)</i> and have been removed from this schedule. All Disposition Authority Numbers (DANs) in the <i>Health Departments and Districts Records Retention Schedule</i> now begin with the prefix “HE”; there have been no changes to titles, descriptions, retention periods, or archival designations.  |
| 4.0     | January 27, 2011 | Revision of entire schedule, including series titles, descriptions, retention periods, and archival designations. Entire schedule has been reorganized and restructured. The “Secondary Copy” and “Remarks” columns have been removed and the entire schedule has been reformatted. Records series common to all local government agencies and covered by the <i>Local Government Common Records Retention Schedule (CORE)</i> have been removed. The following records series have been discontinued in version 4.0 of the <i>Public Health Departments and Districts Records Retention Schedule</i> and disposition authority for them is pending in revisions to the <i>Local Government Common Records Retention Schedule (CORE)</i> : HE55-01A-09 and HE55-01C-13. |
| 4.1     | August 20, 2015  | Entire schedule reformatted/modernized. Citations hyperlinked; minor errors corrected; <i>some</i> language clarified. Two new series: <b>Environmental Monitoring (Agency Jurisdiction)</b> (HE2015-001, p. 12) and <b>Environmental Testing (Service to Public)</b> (HE 2015-002 p. 24). 17 series updated; 1 series discontinued. All changes detailed in Summary of Changes. (NOTE: <i>Typographical error corrections, formatting, and inconsequential language modifications were not considered changes.</i> )   |

For assistance and advice in applying this records retention schedule,  
please contact Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)  
or contact your Regional Archivist.

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**SUPERSEDED**

## 1. AGENCY MANAGEMENT

The function relating to the overarching management of agency business and its general administration. Also includes management of the agency's interaction with the community, and legal matters.

See [CORE – Agency Management](#) for additional records relating to risk management.

### 1.1 COMMUNITY RELATIONS

*The activity of the local government agency interacting with its community.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|---|--|--------------------------------------|
| HE2011-000<br>Rev. 0               | <p><b>Crisis Lines</b><br/>Records relating to phone calls received by the agency through a crisis phone line.<br/><i>Note: <a href="#">WAC 388-865-0452(7)</a> requires the retention of records documenting crisis phone contacts.</i></p>  | <p><b>Retain</b> for 6 years after date of contact<br/><i>then</i><br/><b>Destroy.</b></p>                             | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-001<br>Rev. 1               | <p><b>Client Relations</b><br/>Records relating to the agency's interactions with clients or their representatives, such as inquiries, complaints, and grievances.<br/>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Inquiries/complaints/grievances received (such as environmental health complaints, etc.);</li> <li>• Documentation of agency response(s).</li> </ul> <p>Excludes HIPAA-related complaints covered by HE2011-006.</p> | <p><b>Retain</b> for 8 years after inquiry/complaint/grievance matter resolved<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 1.2 QUALITY ASSURANCE AND COMPLIANCE

*The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                                   |
|------------------------------------|---|---|---|
| HE2011-002<br>Rev. 1               | <p><b>Client Accidents/Incidents – No Claim Filed (Age 18 and Older)</b><br/>Records relating to accidents/incidents involving clients age 18 and older in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Hazardous materials accidents and incidents covered by <i>CORE</i> series GS50-19-03.</li> <li>• Accidents/incidents involving non-clients covered by <i>CORE</i> series GS2010-081.</li> <li>• Client accident/incident reports – no claim filed (under age 18) covered by HE2011-003.</li> </ul>     | <p><b>Retain</b> for 8 years after date of accident/injury<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE2011-003<br>Rev. 0               | <p><b>Client Accidents/Incidents – No Claim Filed (Under Age 18)</b><br/>Records relating to accidents/incidents involving clients younger than age 18 in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Hazardous materials accidents and incidents covered by <i>CORE</i> series GS50-19-03.</li> <li>• Accidents/incidents involving non-clients covered by <i>CORE</i> series GS50-06C-03.</li> <li>• Client accident/incident reports – no claim filed (age 18 and older) covered by HE2011-002.</li> </ul> | <p><b>Retain</b> for 8 years after injury/accident<br/><i>and</i><br/>6 years after juvenile attains age 18<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

## 1.2 QUALITY ASSURANCE AND COMPLIANCE

*The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION                                   |
|------------------------------------|---|--|---|
| HE2011-004<br>Rev. 0               | <p><b>Health Insurance Portability and Accountability Act (HIPAA) – Accountings of Disclosure</b><br/>Records of client requests for accountings of protected health information disclosures performed by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requests to inspect or obtain copies of any protected health information;</li> <li>• Documentation of clients taking exception to information in their records with which they disagree, and/or request corrections;</li> <li>• Disclosures of individuals' protected health information made by the agency or its business associates.</li> </ul> <p><i>Note: <a href="#">45 CFR § 164.528(a)</a> establishes an individual's right to receive an accounting of disclosures of protected health information made by the agency during the previous six years.</i></p> | <p><b>Retain</b> for 6 years after date of disclosure<br/><i>then</i><br/><b>Destroy.</b></p>                                      | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE2011-005<br>Rev. 1               | <p><b>Health Insurance Portability and Accountability Act (HIPAA) – Amendments to Protected Health Information</b><br/>Records relating to patient requests for amendments to protected health information pursuant to <a href="#">45 CFR § 164.526</a>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requests for and statements of amendment;</li> <li>• Documentation of provider challenges to proposed amendment;</li> <li>• Internal and external correspondence relating to requests/amendments;</li> <li>• Provider statements of disagreement.</li> </ul>  | <p><b>Retain</b> until destruction of protected health information subject to amendment(s)<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

## 1.2 QUALITY ASSURANCE AND COMPLIANCE

*The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION   |
|------------------------------------|--|---|---|
| HE2011-006<br>Rev. 0               | <p><b>Health Insurance Portability and Accountability Act (HIPAA) – Complaints</b><br/>Records generated during the agency’s internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Complaints received;</li> <li>• Complaints submitted by workforce members;</li> <li>• Complaints submitted by clients;</li> <li>• Background materials pertaining to complaints received;</li> <li>• Agency responses to complaints;</li> <li>• Complaint logs.</li> </ul> <p><i>Note: <a href="#">45 CFR § 164.530(j)(2)</a> requires the retention of documentation relating to HIPAA-related complaints for six years.</i></p> | <p><b>Retain</b> for 6 years after final resolution<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                             |
| HE2011-007<br>Rev. 0               | <p><b>Health Insurance Portability and Accountability Act (HIPAA) – Sanctions to Workers</b><br/>Records relating to sanctions applied to workers for non-compliance with privacy policies or procedures.</p>  | <p><b>Retain</b> for 6 years after fulfillment of sanction(s)<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                             |
| HE2011-008<br>Rev. 0               | <p><b>Major Incident Reviews</b><br/>Records relating to events identified as major or significant incidents by the agency for the purposes of improving future responses and to identify training or safety issues for incorporation into training procedure.</p>   | <p><b>Retain</b> for 8 years after date of incident<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED



## 1.2 QUALITY ASSURANCE AND COMPLIANCE

*The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| HE2011-009<br>Rev. 0               | <p><b>Medical Staff Credentialing/Privileging</b><br/>Records relating to credentialing or privileging of medical staff including reviews of practitioners' qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation.</p> <p>Excludes personnel/work history records covered by CORE series GS50-04B-06.</p> <p><i>Note: <a href="#">RCW 70.41.220</a> requires the retention of records relating to decisions to restrict or terminate privileges of practitioners.</i></p> | <p><b>Retain</b> for 8 years after termination of employment<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OFM</p>  |
| HE2011-010<br>Rev. 0               | <p><b>Release of Information Logs</b><br/>Logs documenting the release/disclosure of health information by the agency.</p>   | <p><b>Retain</b> for 6 years after date of entry<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OFM</p>                              |
| HE2011-011<br>Rev. 0               | <p><b>Standard of Care</b><br/>Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions.</p>  | <p><b>Retain</b> for 8 years after obsolete or superseded<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for permanent retention.</p>                  | <p><b>ARCHIVAL</b><br/>(Permanent Retention)<br/>NON-ESSENTIAL<br/>OPR</p> |

## 2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.). Includes asset acquisition, maintenance, inventory, and disposal.

### 2.1 MAINTENANCE

*The activity of repairing or servicing the assets of the local government agency. Includes building, vehicles, and equipment.*  
See [CORE – Asset Management](#) for all other records relating to the agency's assets.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|---|--|--|
| HE55-02H-01<br>Rev. 1              | <b>Clinical Instrument Studies</b><br>Records relating to clinical laboratory instrument studies.<br><i>Note: <a href="#">WAC 246-338-070</a> requires the retention of records relating to instrument/method validation studies for the life of the instrument/method plus 2 years.</i>  | Retain for 2 years after disposal of instrument<br><i>then</i><br>Destroy.   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                             |
| HE2011-012<br>Rev. 0               | <b>Radiation Instrument Calibration (Drinking Water)</b><br>Calibration data and maintenance of radiation instruments and analytical balances used to analyze drinking water.<br><i>Note: The <a href="#">Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5<sup>th</sup> Edition)</a> Chapter VI, page VI-8 requires the permanent retention of records documenting calibration data and maintenance records on all radiation instruments and analytical balances. (<a href="http://www.epa.gov/ogwdw/methods/pdfs/manual_labcertification.pdf">http://www.epa.gov/ogwdw/methods/pdfs/manual_labcertification.pdf</a>)</i> | Retain for the life of the agency<br><i>then</i><br>Transfer to Washington State Archives for permanent retention. | <b>ARCHIVAL</b><br>(Permanent Retention)<br>NON-ESSENTIAL<br>OPR |
| HE2011-013<br>Rev. 0               | <b>Sterilizer Spore Tests</b><br>Records relating to spore tests performed on sterilization equipment in accordance with <a href="#">WAC 246-145-030</a> (11)(d).<br><i>Note: <a href="#">WAC 246-145-030(11)(d)</a> requires the retention of records relating to sterilizer testing for at least 3 years.</i>   | Retain for 3 years after date of test<br><i>then</i><br>Destroy.   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                             |

### 3. ENVIRONMENTAL HEALTH MANAGEMENT

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

#### 3.1 AUDITING AND INSPECTION

*The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency's jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances. See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| HE55-01J-05<br>Rev. 1              | <b>Business Registers</b><br>Registers of business establishments that are subject to periodic inspections to evaluate compliance with applicable laws and regulations.  | <b>Retain</b> until obsolete or superseded<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE55-01J-04<br>Rev. 1              | <b>Condemnation/Demolition Orders</b><br>Records relating to the demolition, decontamination, or disposal of a structure or vehicle by order of the agency in accordance with <a href="#">RCW 64.44.050</a> .<br>Excludes <i>Hazardous Waste – Chemical Site Inspections</i> covered by HE55-01M-02. | <b>Retain</b> for 6 years after date of order<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### 3.1 AUDITING AND INSPECTION

The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency's jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances.

See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|--|--|---|
| HE2015-001<br>Rev. 0               | <p><b>Environmental Monitoring (Agency Jurisdiction)</b><br/>Records relating to environmental monitoring of <b>areas within the agency's jurisdiction</b> for purposes of prevention, control, and abatement of <b>public health</b> hazards and nuisances in accordance with <u>RCW 70.05.060</u>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Project plans/strategies, mitigation steps (recommended, taken, disregarded, etc.);</li> <li>• Field studies, system tracking, air/land surveys, observations, maps;</li> <li>• Sampling results and analysis (soil, air, water, etc.);</li> <li>• Meeting materials, minutes, etc.;</li> <li>• Related correspondence (regardless of format).</li> </ul> <p>Excludes environmental monitoring covered <i>more specifically</i> elsewhere, such as:</p> <ul style="list-style-type: none"> <li>• Inspections/monitoring covered in the <u>Licensing and Permitting</u> section.</li> <li>• Monitoring of <b>agency-owned assets</b> (buildings, infrastructure, etc.) covered in <u>CORE</u>.</li> <li>• Environmental testing performed <b>as a service to the general public</b> covered by HE2015-002.</li> </ul> | <p><b>Retain</b> for 6 years after hazard/nuisance resolved (<i>if identified</i>) and monitoring discontinued<br/><i>then</i><br/><b>Contact</b> Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |

### 3.1 AUDITING AND INSPECTION

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See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|--|--|---|
| HE55-02L-01<br>Rev. 1              | <p><b>Facility Inspections (General)</b><br/>Records relating to the inspection of facilities or establishments where not covered by a more specific record series.</p> <p>Includes, but is not limited to inspections of the following:</p> <ul style="list-style-type: none"> <li>• Dairies, food, meat processing, and food establishments;</li> <li>• Living environments such as parks, recreational facilities, schools, and farmworker housing;</li> <li>• Spas, swimming beaches, and pools;</li> <li>• Sewers (public and private);</li> <li>• Schools.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Solid waste facility inspections covered by HE55-01J-24.</li> <li>• Records relating to agency facility inspections covered by CORE series GS50-06B-27.</li> </ul> | <p><b>Retain</b> for 6 years after date of inspection<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                             |
| HE55-01M-01<br>Rev. 1              | <p><b>Hazardous Waste – Business Audits</b><br/>Records relating to audits of businesses responsible for creating hazardous waste.</p>   | <p><b>Retain</b> for 6 years after completion of audit<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |

### 3.1 AUDITING AND INSPECTION

*The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency's jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances.*

See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|--|---|--|
| HE55-01M-02<br>Rev. 1              | <p><b>Hazardous Waste – Chemical Site Inspections</b></p> <p>Records relating to the agency's inspection of chemical sites which may, or are known to, collect or create hazardous waste.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Inspection documentation;</li> <li>• Documentation of chemical site's corrective actions in response to inspections.</li> </ul> <p>Excludes hazardous materials <b>abatement project files</b> covered by CORE series GS50-19-10.</p> | <p><b>Retain</b> until no longer needed for agency business<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |
| HE55-01M-03<br>Rev. 1              | <p><b>Hazardous Waste – Collector's Audits</b></p> <p>Records relating to inspections of hazardous waste collectors.</p>   | <p><b>Retain</b> for 6 years after completion of audit<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                                |
| HE2011-014<br>Rev. 0               | <p><b>On-Site Sewage Systems – Maintenance and Inspection</b></p> <p>Records relating to reports received from maintenance, inspection, and pumping specialists, septic tank pumpers, or other servicers performing on-site sewage disposal system inspections.</p>  | <p><b>Retain</b> until notification that system has been decommissioned<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                                |

### 3.1 AUDITING AND INSPECTION

*The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency's jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances.*

*See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| HE55-01J-15<br>Rev. 1              | <b>Planning Department Recommendations</b><br>Records relating to reports, criteria, and recommendations developed by the agency for the local Planning Department on health-related issues.  | <b>Retain</b> for 6 years after date of report/recommendation<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.     | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR  |
| HE2011-015<br>Rev. 0               | <b>Recreational Shellfish Beach Classifications</b><br>Agency files on the annual classification/reclassification of recreational shellfish beaches based on the risk to public health from consuming shellfish.                                    | <b>Retain</b> for 1 year after updated/superseded<br><i>then</i><br><b>Transfer</b> to Washington State Archives for permanent retention.                               | <b>ARCHIVAL</b><br>(Permanent Retention)<br>NON-ESSENTIAL<br>OFM |
| HE55-01J-21<br>Rev. 1              | <b>Sewage Treatment Site Inspections</b><br>Records relating to the inspection of public and private sewage treatment sites. Includes documentation of any problems discovered during the course of investigation and related corrective action(s). | <b>Retain</b> for 50 years after closure of sewage treatment site<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR  |

### 3.1 AUDITING AND INSPECTION

The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency's jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances.

See [CORE – Asset Management](#) for records relating to the agency's assets (buildings, land, water bodies, infrastructure, etc.).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| HE2011-016<br>Rev. 0               | <b>Solid Waste – Characterization and Disposal (General)</b><br>Records relating to solid waste characterization advice provided by the agency where the waste <i>is not</i> determined to be hazardous waste.   | <b>Retain</b> for 5 years after advice provided<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| HE55-01M-04<br>Rev. 1              | <b>Solid Waste – Characterization (Hazardous Waste)</b><br>Records relating to solid waste characterization advice provided by the agency to other entities where the waste <i>is</i> determined to be hazardous waste.  | <b>Retain</b> for 50 years after advice provided<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| HE55-01J-24<br>Rev. 1              | <b>Solid Waste – Facility Inspections</b><br>Records relating to the permitting, inspection, and/or monitoring of solid waste disposal sites.<br>Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Incinerators;</li> <li>• Landfills;</li> <li>• Recycling facilities;</li> <li>• Sewage sludge sites;</li> <li>• Transfer stations.</li> </ul> Excludes general facility inspections covered by HE55-02L-01. | <b>Retain</b> for the life of the facility<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| HE55-01K-05<br>Rev. 1              | <b>Vector/Pest Control</b><br>Records relating to inspections for rodent and other types of pest infestations.   | <b>Retain</b> for 6 years after date of inspection<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |



**3.1 AUDITING AND INSPECTION**

*The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations. Includes environmental monitoring of areas within the agency’s jurisdiction for purposes of prevention, control, and abatement of health hazards and nuisances. See [CORE – Asset Management](#) for records relating to the agency’s assets (buildings, land, water bodies, infrastructure, etc.).*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|---|--|--------------------------------------|
| HE55-01J-26<br>Rev. 1              | <b>Water Well Reports</b><br>Copies of water well reports submitted by well drillers to the Department of Ecology describing the location, ownership, construction details, and lithology of completed wells. | <b>Retain</b> until no longer needed for agency business<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

**SUPERSEDED**

### 3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| HE55-01J-01<br>Rev. 1              | <b>Building Plan Reviews</b><br>Records relating to reviews of construction project plans for changes to facilities, new construction, or building alterations or additions in the agency's jurisdiction, including school construction/modification reviews performed in accordance with <a href="#">chapter 246-366A WAC</a> .  | <b>Retain</b> for 6 years after completion of review<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| HE55-01F-04<br>Rev. 2              | <b>Burial/Cremation/Transit Permits</b><br>Records relating to permits for the burial, cremation, or transit of deceased persons pursuant to <a href="#">RCW 70.58.230</a> .<br>Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Burial, cremation and transit permits;</li> <li>• Notices of removal.</li> </ul>  | <b>Retain</b> for 1 year after expiration of permit<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| HE55-02L-04<br>Rev. 1              | <b>Food and Beverage Service Permits – Denied</b><br>Records relating to the denial of food and beverage service permits for which individuals in the agency have applied.<br>Excludes approved service permits -covered by HE55-02L-02 and HE55-02L-03.  | <b>Retain</b> for 1 year after date of denial<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| HE55-02L-02<br>Rev. 1              | <b>Food and Beverage Service Permits – Non-Temporary Establishments</b><br>Records relating to the permitting of food and/or beverage service establishments in the agency. Includes permits and related records.<br>Excludes: <ul style="list-style-type: none"> <li>• Denied permits covered by HE55-02L-04.</li> <li>• Permits for temporary establishments covered by HE55-02L-03.</li> </ul> | <b>Retain</b> for 6 years after close of establishment<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |

### 3.2 LICENSING AND PERMITTING

*The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION   |
|------------------------------------|--|---|---|
| HE55-02L-03<br>Rev. 1              | <b>Food and Beverage Service Permits – Temporary Establishments</b><br>Records relating to the issuance of food and beverage service permits to workers in the agency. Includes permits and related records.<br>Excludes records covered by HE55-02L-04 and HE55-02L-02.               | <b>Retain</b> for 6 years after expiration of permit<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                             |
| HE55-01D-06<br>Rev. 2              | <b>Food Borne Illness Complaints and Investigations</b><br>Records relating to food borne illness complaints received and any resultant agency response or investigation.  | <b>Retain</b> for 6 years after matter settled<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                |
| HE55-02L-06<br>Rev. 1              | <b>Food Worker Permits</b><br>Records relating to the issuance of food worker permits in accordance with <u>chapter 246-217 WAC</u> .  | <b>Retain</b> until expired or superseded<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                             |
| HE2011-017<br>Rev. 0               | <b>Hazardous Waste – Permits</b><br>Records relating to permits for the disposal of contaminated soils and/or other industrial waste.<br>Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Permit application materials;</li> <li>• Correspondence.</li> </ul> | <b>Retain</b> for 50 years after expiration of permit<br><i>then</i><br><b>Transfer</b> to Washington State Archives for permanent retention. | <b>ARCHIVAL</b><br>(Permanent Retention)<br><b>ESSENTIAL</b><br>OPR |

### 3.2 LICENSING AND PERMITTING

*The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION   |
|------------------------------------|---|---|---|
| HE55-01F-09<br>Rev. 1              | <b><i>Inter and Disinter Permits</i></b><br>Records relating to the issuance of permits for the interment or disinterment of deceased persons.  | <b>Retain</b> for 6 years after expiration of permit<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.              | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR  |
| HE55-01A-10<br>Rev. 1              | <b><i>Licenses Issued Registers</i></b><br>Registers of licenses issued by the agency.  | <b>Retain</b> for 6 years after expiration of last license listed<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM     |
| HE55-01J-18<br>Rev. 1              | <b><i>On-Site Sewage Systems – Permits</i></b><br>Records relating to permits for the installation, repair, alteration, or expansion of an on-site sewage system. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Approved, denied, and lapsed permits;</li> <li>• Percolation tests and soil probes;</li> <li>• Permit application materials;</li> <li>• Waivers granted.</li> </ul> | <b>Retain</b> until notification that system has been decommissioned<br><i>then</i><br><b>Transfer</b> to Washington State Archives for permanent retention.            | <b>ARCHIVAL</b><br>(Permanent Retention)<br><b>ESSENTIAL</b><br>OPR |

### 3.2 LICENSING AND PERMITTING

*The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| HE55-01J-13<br>Rev. 1              | <b>Permit and Approval Summaries</b><br>Summaries of permits and approvals granted by the agency.  | <b>Retain</b> for 6 years after expiration/termination of permit or approval<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| HE55-01J-14<br>Rev. 1              | <b>Permits and Approvals - General</b><br>Records relating to permits and approvals issued by the agency <i>where not covered by a more specific records series.</i><br><br>Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Animal shelters, stables, stockyards, and zoonotic licensing;</li> <li>• Camps (summer, labor, penal, church, etc.);</li> <li>• Dairies and food processing plants;</li> <li>• Garbage/recycling vehicles;</li> <li>• Gas piping and plumbing;</li> <li>• Hospitals, nursing homes, boarding homes, and dormitories;</li> <li>• Hotels and resorts;</li> <li>• Pest control companies;</li> <li>• Schools;</li> <li>• Solid/hazardous waste recycling events.</li> </ul> | <b>Retain</b> for 6 years after expiration of permit/approval<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |

### 3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| HE55-01J-02<br>Rev. 1              | <b>Solid Waste – Closed Landfills</b><br>Records relating to closed landfill sites.   | <b>Retain</b> for 50 years after site closure<br><i>then</i><br><b>Transfer</b> to Washington State Archives for permanent retention.            | <b>ARCHIVAL</b><br>(Permanent Retention)<br><b>ESSENTIAL</b><br>OPR |
| HE2011-018<br>Rev. 0               | <b>Water Recreation Facility Permits</b><br>Permits issued by agency for the construction of water recreation facilities.<br>Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Application form(s);</li> <li>• Pertinent plans and specifications submitted with application.</li> </ul>  | <b>Retain</b> for 3 years after expiration<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM     |
| HE55-01J-25<br>Rev. 1              | <b>Water Supply System Permits</b><br>Records relating to the permitting and ongoing inspection of public and/or private water supply systems.<br>Includes, but is not limited to documentation relating to: <ul style="list-style-type: none"> <li>• Distribution systems;</li> <li>• Filtering;</li> <li>• Treatment installations;</li> <li>• Water quality analysis.</li> </ul> | <b>Retain</b> for the life of the agency<br><i>then</i><br><b>Transfer</b> to Washington State Archives for permanent retention.                 | <b>ARCHIVAL</b><br>(Permanent Retention)<br><b>ESSENTIAL</b><br>OPR |

### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2011-019<br>Rev. 0               | <p><b>Drinking Water – Laboratory Assessments/Certification Reviews</b><br/>Records relating to on-site laboratory assessments and/or certification program reviews of labs that analyze drinking water.</p> <p><i>Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5<sup>th</sup> Edition) Chapter III, page III-9 requires the retention of records relating to laboratory assessments and on-site certification reviews for at least 6 years to include the last two on-site audits.</i></p>              | <p><b>Retain</b> for 6 years after completion of assessment/ review<br/><i>and</i><br/>until completion of two subsequent audits<br/><i>then</i><br/><b>Destroy.</b></p>                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-020<br>Rev. 0               | <p><b>Drinking Water – Radionuclide Analysis of Compliance</b><br/>Records relating to radionuclide analyses of compliance samples.</p> <p><i>Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5<sup>th</sup> Edition) Chapter IV, page IV-12 requires the retention of records relating to radionuclide analyses of compliance samples for 10 years (see 40 CFR § 141.33).</i></p>  | <p><b>Retain</b> for 10 years after date of report<br/><i>then</i><br/><b>Destroy.</b></p>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-026<br>Rev. 0               | <p><b>Effluent/Discharge Monitoring Data and Supporting Documentation</b><br/>Records relating to the monitoring of sites or locations that discharge pollutants or effluents, including data and site monitoring support documentation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Biosolid testing (e.g. land application);</li> <li>• Field/remote testing;</li> <li>• Industrial pre-treatment monitoring;</li> <li>• Solid waste testing;</li> <li>• Wastewater treatment monitoring (operational monitoring, etc.).</li> </ul> | <p><b>Retain</b> for 10 years after testing completed<br/><i>and</i><br/>until fulfillment of retention requirement(s) specified on discharge permit<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2015-002<br>Rev. 0               | <p><b>Environmental Testing (Service to Public)</b><br/>Records relating to environmental <i>sample</i> testing <b>offered as a service to the general public.</b> Includes tests such as residential indoor air quality, lead paint, mold, garden soil (for lead/contaminants), etc. Does not include testing relating to agency-owned assets.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Original request form submitted by requestor;</li> <li>• Sample tracking (chain of custody) records;</li> <li>• Test results and data;</li> <li>• Records documenting what was provided to the requestor (test reports, etc.).</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Environmental <i>monitoring</i> covered by HE2015-001.</li> <li>• Monitoring of <b>agency-owned assets</b> (buildings, infrastructure, etc.) covered by <u>CORE</u>.</li> </ul> | <p><b>Retain</b> for 6 years after results provided to requestor <i>then</i><br/><b>Destroy.</b></p>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-021<br>Rev. 0               | <p><b>Laboratory Quality Assurance and Control (Environmental Lab)</b><br/>Records relating to quality assurance testing and control activities in environmental labs, including labs that analyze drinking water.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Documentation of analytical methods;</li> <li>• Instrument calibrations;</li> <li>• Proficiency testing;</li> <li>• Method detection limit studies;</li> <li>• Method validation studies.</li> </ul>   | <p><b>Retain</b> for 10 years after conclusion of analysis/testing/calibration <i>or</i> until completion of Dept. of Ecology audit, whichever is sooner <i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

SUPERSEDED



### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION                                   |
|------------------------------------|---|--|---|
| HE2011-022<br>Rev. 0               | <p><b>Public Water Systems – Analysis for Lead/Copper</b><br/>Records relating to the testing of water samples from public water systems for lead and copper.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Instrument logs;</li> <li>• Sample collection and control documentation;</li> <li>• Raw data and calculations;</li> <li>• Quality control data.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Bacteriological and turbidity analyses covered by HE2011-023.</li> <li>• Chemical analyses covered by HE2011-024.</li> <li>• General public water system analyses covered by HE55-02H-03.</li> </ul> <p><i>Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5<sup>th</sup> Edition) Chapter IV, page IV-9 requires the retention of records relating to chemical analyses for lead and copper for twelve years (see 40 CFR § 141.91).</i></p> | <p><b>Retain</b> for 12 years after date of report<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                                   |
|------------------------------------|--|---|---|
| HE2011-023<br>Rev. 0               | <p><b>Public Water Systems – Bacteriological and Turbidity Analyses</b><br/>Records relating to bacteriological and turbidity analyses of Group A and/or Group B public water systems as defined by <u>chapter 246 RCW</u>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Instrument logs;</li> <li>• Sample collection and control documentation;</li> <li>• Raw data and calculations;</li> <li>• Quality control data.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Analyses for lead/copper covered by HE2011-022.</li> <li>• Chemical analyses covered by HE2011-024.</li> <li>• General public water system analyses covered by HE55-02H-03.</li> </ul> <p><i>Note: WACs <u>246-290-480(1)(a)</u> and <u>246-291-260(1)(a)</u> require the retention of bacteriological and turbidity analysis results for 5 years.</i></p> | <p><b>Retain</b> for 5 years after completion of analysis<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                                   |
|------------------------------------|--|--|---|
| HE2011-024<br>Rev. 0               | <p><b>Public Water Systems – Chemical Analyses</b><br/>Records relating to chemical analyses of Group A and/or Group B public water systems as defined by <u>chapter 246 RCW</u>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Instrument logs;</li> <li>• Sample collection and control documentation;</li> <li>• Raw data and calculations;</li> <li>• Quality control data.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Analyses for lead/copper covered by HE2011-022.</li> <li>• Bacteriological and turbidity analyses covered by HE2011-023.</li> <li>• General public water system analyses covered by HE55-02H-03.</li> </ul> <p><i>Note: WACs <u>246-290-480(1)(a)</u> and <u>246-291-260(1)(a)</u> require the retention of chemical analysis results for as long as the system is in operation.</i></p> | <p><b>Retain</b> for the life of the public water system<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

### 3.3 TESTING AND ANALYSIS

*The activity of testing and analyzing environmental samples.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                                   |
|------------------------------------|---|---|---|
| HE55-02H-03<br>Rev. 1              | <p><b>Public Water Systems – General</b><br/>Records relating to the analysis of Group A and/or Group B public water systems as defined by <u>chapter 246 RCW</u> <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Instrument logs;</li> <li>• Sample collection and control documentation;</li> <li>• Raw data and calculations;</li> <li>• Quality control data.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Analyses for lead/copper covered by HE2011-022.</li> <li>• Bacteriological and turbidity analyses covered by HE2011-023.</li> <li>• Chemical analyses covered by HE2011-024.</li> </ul> | <p><b>Retain</b> for 5 years after conclusion of analysis<br/><i>then</i><br/><b>Destroy.</b></p>       | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OFM</p> |
| HE2011-025<br>Rev. 0               | <p><b>Sample Management</b><br/>Records relating to the management and tracking of samples received by the environmental laboratory for testing or analysis.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Chain of custody documentation;</li> <li>• Sample receipt documentation.</li> </ul>   | <p><b>Retain</b> for 10 years after conclusion of sample testing<br/><i>then</i><br/><b>Destroy</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

## 4. HEALTH CARE AND TREATMENT

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

### 4.1 ASSESSMENT AND REFERRAL

*The activity of assessing clients' health care needs and referring them to health care providers outside of the agency, when appropriate.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2011-027<br>Rev. 0               | <b>Encounter Forms/Fee Sheets</b><br>Records documenting services or procedures provided to clients and pertinent coding or billing information associated with services provided.   | <b>Retain</b> for 6 years after provision of health-related services<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE55-01D-07<br>Rev. 1              | <b>HIV Test Reports</b><br>Records relating to non-identifiable client HIV test reports received from the Department of Health lab.  | <b>Retain</b> for 2 years after date of receipt<br><i>then</i><br><b>Destroy.</b>                      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE55-01C-16<br>Rev. 1              | <b>Referrals</b><br>Records relating to individuals referred to the agency from private practices or other agencies, or by the agency for services from non-agency providers. Includes maternal referrals.   | <b>Retain</b> for 2 years after date of referral<br><i>then</i><br><b>Destroy.</b>                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE55-01C-02<br>Rev. 2              | <b>Screening and Referral</b><br>Records documenting <u>summary information</u> about the screening of clients for medical conditions (and subsequent results, diagnosis, suspect log, recommendation, referral, etc.).<br>Medical screening programs include, <u>but are not limited to</u> :<br><ul style="list-style-type: none"> <li>Alcoholism, cancer, cardiac, diabetes, hypertension, sexually transmitted disease;</li> <li>Dental health, glaucoma, pregnancy, etc.</li> </ul> Excludes Client Medical Records covered by HE55-01B-01 and/or HE2011-030. | <b>Retain</b> for 2 years after screening/referral<br><i>then</i><br><b>Destroy.</b>                   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 4.2 CLIENT ADMINISTRATION

*The activity of administering health care and treatment services provided for clients.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| HE55-01D-04<br>Rev. 2              | <p><b>Master Client/Patient Index</b><br/>Records documenting patient identification, registration, medical, and billing information for each individual registered for public health services.</p> <p><i>Note: The American Health Information Management Association (AHIMA) recommends the permanent retention of the master patient index.</i></p> | <p><b>Retain</b> until destruction of pertinent medical record<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |
| HE2011-028<br>Rev. 0               | <p><b>Operative Indexes</b><br/>Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information.</p> <p><i>Note: The American Health Information Management Association (AHIMA) recommends the retention of operatives indexes for 10 years.</i></p>   | <p><b>Retain</b> for 10 years after date of entry<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for permanent retention.</p>                            | <p><b>ARCHIVAL</b><br/>(Permanent Retention)<br/>NON-ESSENTIAL<br/>OFM</p>   |

### 4.3 CLIENT BILLING

*The activity of billing clients for services rendered.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| HE55-01C-14<br>Rev. 1              | <p><b><i>Client Billing and Financial Assistance</i></b><br/>Records relating to billing of insurance and third party payers for the provision of medical services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Applications for financial assistance;</li> <li>• Client eligibility documentation;</li> <li>• DSHS pre-authorizations;</li> <li>• Client refunds.</li> </ul> | <p><b>Retain</b> for 6 years after final account activity<br/><i>then</i><br/><b>Destroy.</b></p>           | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-029<br>Rev. 0               | <p><b><i>Clinical Resource Management/Utilization Review</i></b><br/>Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity.</p>  | <p><b>Retain</b> for 8 years after completion of utilization review<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE55-01A-06<br>Rev. 1              | <p><b><i>Department of Social and Health Services Billing</i></b><br/>Records relating to claims billed to the Department of Social and Health Services (DSHS), regardless of whether the claim has been paid or denied.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Medical assistance remittances;</li> <li>• Status reports;</li> <li>• Claim documents.</li> </ul>        | <p><b>Retain</b> for 6 years after expiration of DSHS contract<br/><i>then</i><br/><b>Destroy.</b></p>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE55-01A-03<br>Rev. 1              | <p><b><i>Financial Assessments</i></b><br/>Records relating to the assessment of clients' financial resources and their ability to fund medical treatment, including patient eligibility records.</p>  | <p><b>Retain</b> for 6 years after date of assessment<br/><i>then</i><br/><b>Destroy.</b></p>               | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

#### 4.4 CLIENT MEDICAL RECORDS

*The activity of managing documentation relating to the assessment and treatment of clients.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                                      |
|------------------------------------|--|--|--|
| HE55-01B-01<br>Rev. 2              | <p><b>Client Medical Records – Age 18 and Over</b><br/>Records created by the public health agency on a per-client basis to document health care services provided to clients age 18 and over.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC);</li> <li>• Medication administration records;</li> <li>• <u>Expedited Partner Therapy</u> (EPT) prescription files <i>if partners are not clients of the agency</i>;</li> <li>• Client treatment history and treatment summaries;</li> <li>• Dental records.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Mental health counseling records covered by HE2011-032.</li> <li>• Radiologic reports covered by HE2011-034.</li> <li>• Client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031.</li> </ul> | <p><b>Retain</b> for 8 years after last provision of health-related services<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/><b>ESSENTIAL</b><br/>OPR</p> |



#### 4.4 CLIENT MEDICAL RECORDS

*The activity of managing documentation relating to the assessment and treatment of clients.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                             |
|------------------------------------|--|---|---|
| HE2011-030<br>Rev. 1               | <p><b>Client Medical Records – Under Age 18</b><br/>Records created by the public health agency on a per-client basis to document health care services provided to clients under age 18.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC);</li> <li>• Medication administration records;</li> <li>• <u>Expedited Partner Therapy</u> (EPT) prescription files <i>if partners are not clients of the agency</i>;</li> <li>• Client treatment history and treatment summaries;</li> <li>• Dental records.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Mental health counseling records covered by HE2011-032.</li> <li>• Radiologic reports covered by HE2011-034.</li> <li>• Client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031.</li> </ul> | <p><b>Retain</b> for 8 years after last provision of health-related services<br/><i>and</i><br/>3 years after client attains age 18<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| HE2011-031<br>Rev. 1               | <p><b>Client Medical Records – Disclosure Authorized</b><br/>Client medical records for which a disclosure has been authorized in accordance with <u>RCW 70.02.030</u>.</p> <p><i>Note: <u>RCW 70.02.160</u> requires the retention of existing health care information for at least one year following receipt of an authorization to disclose that health care information.</i></p>  | <p><b>Retain</b> for 1 year after receipt of authorization to disclose<br/><i>then</i><br/><b>Destroy.</b></p>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

#### 4.4 CLIENT MEDICAL RECORDS

*The activity of managing documentation relating to the assessment and treatment of clients.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                             |
|------------------------------------|---|---|---|
| HE2011-032<br>Rev. 0               | <p><b>Counseling</b><br/>Records relating to the provision of mental health counseling and services on a per-client basis by a licensed mental health counselor.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Counseling notes and summaries;</li> <li>• Prescriptions.</li> </ul> <p>Excludes client medical records for which a disclosure authorization has been made in the final year of retention, covered by HE2011-031.</p> <p><i>Note: <a href="#">WAC 246-809-035(4)</a> requires the retention of all records relating to counseling services billed to a third-party payer for 5 years following the client's last visit.</i></p> | <p><b>Retain</b> for 5 years after client's last visit<br/><i>then</i><br/><b>Destroy.</b></p>    | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| HE2011-033<br>Rev. 0               | <p><b>Requests</b><br/>Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p>   | <p><b>Retain</b> until added to client's medical record.</p>                                      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| HE2011-034<br>Rev. 0               | <p><b>Radiologic Reports</b><br/>Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images where the radiologist's final report has been added to the client medical record.</p> <p><i>Note: <a href="#">42 CFR § 482.26(d)(2)</a> requires the retention of radiologic reports and printouts for 5 years.</i></p>   | <p><b>Retain</b> for 5 years after date of report<br/><i>then</i><br/><b>Destroy.</b></p>         | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| HE2011-035<br>Rev. 0               | <p><b>Staff Signature Lists</b><br/>Records documenting the signatures of staff who sign charts and other documentation relating to the provision of health-related services on behalf of the agency.</p>   | <p><b>Retain</b> for 8 years after obsolete or superseded<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |

## 4.5 CLINICAL LABORATORY

*The activity of performing laboratory analysis to determine a medical diagnosis.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE55-02H-02<br>Rev. 1              | <p><b>Quality Assurance/Control (Clinical Laboratory)</b><br/>Records relating to quality assurance and control testing/validations performed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Performance specifications;</li> <li>• Requisitions;</li> <li>• Instrument documentation;</li> <li>• Specimen identification and tracking records.</li> </ul> <p>Note: <a href="#">WAC 246-338-070</a> requires the retention of records relating to clinical quality assurance and control records for 2 years.</p> | <p><b>Retain</b> for 2 years after completion of testing<br/><i>then</i><br/><b>Destroy.</b></p>           | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE2011-036<br>Rev. 0               | <p><b>Specimen Testing (Clinical Laboratory)</b><br/>Records relating to the clinical testing of specimens in agency laboratories.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Accession/test logs;</li> <li>• Test requisitions (or equivalent);</li> <li>• Test records and reports.</li> </ul> <p>Note: <a href="#">WAC 246-338-070</a> requires the retention of clinical lab records and reports for 2 years.</p>  | <p><b>Retain</b> for 2 years after completion of testing<br/><i>then</i><br/><b>Destroy.</b></p>           | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| HE2011-037<br>Rev. 0               | <p><b>Test Procedures</b><br/>Records relating to test procedures implemented by the laboratory in accordance with <a href="#">42 CFR § 493.1105</a>.</p> <p>Note: <a href="#">WAC 246-338-070</a>, the <i>Clinical Laboratory Improvement Amendments (CLIA)</i>, and the <i>College of American Pathologists</i> require or recommend the retention of test procedures for 2 years.</p>   | <p><b>Retain</b> for 2 years after procedure has been discontinued<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

**4.5 CLINICAL LABORATORY**

*The activity of performing laboratory analysis to determine a medical diagnosis.*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|--|---|---|
| HE2011-038<br>Rev. 0                     | <p><b><i>Test Reports – General</i></b><br/>           Reports and results for specimens tested at a clinical laboratory and where not covered by a more specific series.<br/> <i>Note: <a href="#">WAC 246-338-070</a> and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.</i></p> | <p><b>Retain</b> for 2 years after examination of slide<br/> <i>then</i><br/> <b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>           NON-ESSENTIAL<br/>           OFM</p> |

**SUPERSEDED**

#### 4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION

*The activity of responding to potential and confirmed infectious or communicable disease threats.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION   |
|------------------------------------|---|---|---|
| HE55-01D-01<br>Rev. 1              | <b><i>Animal Bites and Treatment</i></b><br>Records relating to animal bites reported to the agency, or to agency treatment of animals that potentially pose a threat to human health and safety. | <b>Retain</b> for 6 years after last action<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| HE55-01D-12<br>Rev. 1              | <b><i>Case and Contact Registers – Sexually Transmitted Diseases</i></b><br>Registers, logs, or other summary records documenting clients who are carriers of sexually transmitted diseases.      | <b>Retain</b> for 2 years after date of entry<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| HE55-01D-15<br>Rev. 1              | <b><i>Case and Contact Registers – Tuberculosis</i></b><br>Registers, logs, or other summary records documenting active and/or inactive tuberculosis cases in the agency.                         | <b>Retain</b> for 10 years after date of entry<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| HE2011-039<br>Rev. 1               | <b><i>Emergency Detention Orders</i></b><br>Records relating to emergency detention orders issued for the purposes of isolation or quarantine in accordance with <u>WAC 246-100-040</u> .         | <b>Retain</b> for 3 years after expiration of order<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |

#### 4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION

*The activity of responding to potential and confirmed infectious or communicable disease threats.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| HE2011-040<br>Rev. 0               | <p><b><i>Emergency Incident Response</i></b><br/>Records relating to the agency's response to health emergencies (such as H1N1) and its coordination or involvement in such response.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Staff badging and credentialing information;</li> <li>• Correspondence;</li> <li>• Incident action plans and other planning and procedures developed on an incident-specific basis;</li> <li>• Staff schedules and station assignments;</li> <li>• Update ("situation") reports for internal and/or public use.</li> </ul> | <p><b>Retain</b> for 8 years after provision of last incident-related services<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE55-01D-05<br>Rev. 2              | <p><b><i>Epidemiologic Investigations and Reports</i></b><br/>Records and reports pertaining to disease outbreak, response, treatment methods, demographic and diagnostic data.</p> <p>Excludes Client Medical Records covered by HE55-01B-01 and/or HE2011-030.</p>  | <p><b>Retain</b> for 6 years after date of record or report<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>                    | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE55-01D-14<br>Rev. 1              | <p><b><i>Positive Culture Notifications</i></b><br/>Notifications received from laboratories regarding positive cultures and preliminary test results for certain diseases and conditions pursuant to <u>WAC 246-101-210</u>.</p>   | <p><b>Retain</b> for 2 years after date of notification<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OFM</p>                             |

**4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION**

*The activity of responding to potential and confirmed infectious or communicable disease threats.*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| HE55-01D-13<br>Rev. 2                    | <p><b><i>Sexually Transmitted Disease Case Reports</i></b><br/>Case reports detailing the diagnosis, progress, demographic, and location information on sexually transmitted diseases reported to and/or treated by the agency.<br/>Excludes Client Medical Records covered by HE55-01B-01 and/or HE2011-030.</p> | <p><b>Retain</b> for 2 years after final report activity<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OFM</p> |
| HE55-01D-18<br>Rev. 1                    | <p><b><i>Typhoid Fever Carriers</i></b><br/>Records relating to individuals known to carry typhoid fever, including signed carrier agreements.</p>  | <p><b>Retain</b> for 6 years after death of carrier<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                             |
| HE55-01C-18<br>Rev. 1                    | <p><b><i>Vaccine Information Statements</i></b><br/>The agency's master copy of Department of Health informational statements given to parents of children being vaccinated.</p>  | <p><b>Retain</b> until obsolete or superseded<br/><i>then</i><br/><b>Destroy.</b></p>  | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OFM</p>                             |

SUPERSEDED

#### 4.7 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS

The activity of managing and administering public health WIC programs. Reference: [Washington State WIC Policy and Procedure Manual Vol 2](http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures) (<http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures>).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2011-042<br>Rev. 0               | <p><b>CIMS (Client Information Management System) Supplemental Documentation</b><br/>Supplemental documentation created by the local agency as supporting documentation to client files in the CIMS electronic system.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Prescription forms;</li> <li>• Rights and responsibilities forms;</li> <li>• Signature forms;</li> <li>• Signed check stubs;</li> <li>• Handwritten check receipts;</li> <li>• Signed transfer/Verification of Certification (VOC) stubs.</li> </ul> | <p><b>Retain</b> for 4 years after date of document<br/><i>then</i><br/><b>Destroy.</b></p>            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-043<br>Rev. 0               | <p><b>Expenditure Reports</b><br/>Records relating to expenditure reports created by the local agency and submitted to the state WIC office.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Expenditure Report Total forms;</li> <li>• Supporting documentation.</li> </ul>  | <p><b>Retain</b> for 4 years after report submitted<br/><i>then</i><br/><b>Destroy.</b></p>            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE55-01W-04<br>Rev. 1              | <p><b>Ineligible Client Files</b><br/>Records relating to clients who have been determined to be ineligible to receive WIC program resources.</p>  | <p><b>Retain</b> for 4 years after ineligibility determination<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

SUPERSEDED



**4.7 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS**

*The activity of managing and administering public health WIC programs.* Reference: [Washington State WIC Policy and Procedure Manual Vol 2](http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures)  
(<http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures>).

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2011-044<br>Rev. 0               | <b>Language Interpreter Usage Logs</b><br>Logs documenting requests to outside vendors for translation support services in clinic operations.                            | <b>Retain</b> for 4 years after date of last entry<br><i>then</i><br><b>Destroy.</b>                 | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-045<br>Rev. 0               | <b>Nutrition Education Plan</b><br>Records relating to annual Nutrition Education Plans created by local agencies in accordance with <a href="#">7 CFR § 246.11</a> (d). | <b>Retain</b> for 4 years after date submitted to state WIC office<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-046<br>Rev. 0               | <b>Terminated Client Files</b><br>Records relating to client files for individuals whose program certification has been terminated.                                      | <b>Retain</b> for 4 years after termination<br><i>then</i><br><b>Destroy.</b>                        | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-047<br>Rev. 0               | <b>Time Studies</b><br>Records relating to time studies and support documentation completed by the local agency for program resource planning and allocation.            | <b>Retain</b> for 4 years after study completed<br><i>then</i><br><b>Destroy.</b>                    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE55-01W-10<br>Rev. 1              | <b>Waiting Lists</b><br>Lists of individuals who are waiting to be accepted/certified into the WIC program.  | <b>Retain</b> for 4 years after date of last entry<br><i>then</i><br><b>Destroy.</b>                 | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

SUPERSEDED

## 5. HUMAN RESOURCE MANAGEMENT

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

### 5.1 PERFORMANCE MANAGEMENT

*The activity of assessing and directing employee progress toward performance goals.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|---|---|--------------------------------------|
| HE2011-049<br>Rev. 0               | <b>Staff Plans/Schedules</b><br>Records relating to staff plans and schedules for nursing staff, social workers and other medical staff.<br>Excludes physician call schedules covered by HE2011-050.  | <b>Retain</b> until completion of Joint Commission on Accreditation of Healthcare Organizations audit<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-050<br>Rev. 0               | <b>Physician Call Schedules</b><br>Schedules documenting on-call schedules for hospital physicians.<br>Excludes staff plans/schedules covered by HE2011-049.<br><i>Note: <a href="#">42 CFR § 489.20(r)(1-3)</a> requires the retention of physician on-call schedules.</i> | <b>Retain</b> for 5 years after superseded<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

SUPERSEDED

**5.2 STAFF DEVELOPMENT/TRAINING**

*The activity of enhancing employees' competencies and skills through programs and training.*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                                   |
|--|---|---|---|
| HE2011-048<br>Rev. 0                     | <p><b>Health Insurance Portability and Accountability Act (HIPAA) – Training</b><br/>Records relating to the provision of privacy/HIPAA training programs for agency employees.<br/>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Training development records;</li> <li>• Training handouts, worksheets, PowerPoint presentations, etc.</li> </ul> | <p><b>Retain</b> for 6 years after<br/>superseded<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

## 6. PHARMACY MANAGEMENT

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

### 6.1 CLIENT MANAGEMENT

*The activity of providing for the accurate tracking and management of clients and their pharmacy needs.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                                      |
|------------------------------------|--|--|--|
| HE2011-051<br>Rev. 1               | <p><b>Client Profile and Medication Records – Age 18 and Over</b><br/>A pharmacy-generated profile of <i>clients age 18 and over</i> relating to the filling and dispensing of medications as required by <a href="#">WAC 246-871-050(2)</a>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Client details;</li> <li>• Parenteral products dispensed;</li> <li>• Dates and details of dispensations;</li> <li>• Pharmacist identification;</li> <li>• Client notes, diagnoses, and conditions;</li> <li>• Prescription and refill records.</li> </ul> | <p>Retain for 8 years after date of last dispensing activity<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/><b>ESSENTIAL</b><br/>OPR</p> |
| HE2011-052<br>Rev. 1               | <p><b>Client Profile and Medication Records – Under Age 18</b><br/>A pharmacy-generated profile of <i>clients under age 18</i> relating to the filling and dispensing of medications as required by <a href="#">WAC 246-871-050(2)</a>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Client details;</li> <li>• Parenteral products dispensed;</li> <li>• Dates and details of dispensations;</li> <li>• Pharmacist identification;</li> <li>• Client notes, diagnoses, and conditions;</li> <li>• Prescription and refill records.</li> </ul>       | <p>Retain for 8 years after client attains age 18<br/><i>then</i><br/><b>Destroy.</b></p>            | <p>NON-ARCHIVAL<br/><b>ESSENTIAL</b><br/>OPR</p> |

## 6.2 INVENTORY/DISTRIBUTION

*The activity of documenting the agency's inventory and/or distribution of pharmaceuticals.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|---|---|--------------------------------------|
| HE2011-053<br>Rev. 0               | <b>Drug Batch Data</b><br>Records relating to data received from laboratories on drug batches.<br>Excludes records relating to drug/vaccine accountability covered by DAN HE55-01D-03.  | <b>Retain</b> for 50 years after completion/cessation of batch distribution<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-054<br>Rev. 0               | <b>Inmate Medications</b><br>Records documenting the provision of medications to inmates in jails or correctional facilities.<br>Excludes inmate health records covered in the <a href="#">Law Enforcement Records Retention Schedule</a> by LE15-01-25 and LE2010-034. | <b>Retain</b> for 8 years after date medication(s) provided<br><i>then</i><br><b>Destroy.</b>                 | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-055<br>Rev. 0               | <b>Pharmaceutical Distribution Errors</b><br>Records relating to drug distribution errors discovered and/or reported upon by the agency in accordance with <a href="#">WAC 246-873-080</a> (11).  | <b>Retain</b> for 8 years after date of error<br><i>then</i><br><b>Destroy.</b>                               | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.2 INVENTORY/DISTRIBUTION

*The activity of documenting the agency's inventory and/or distribution of pharmaceuticals.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                                   |
|------------------------------------|--|---|---|
| HE55-01C-12<br>Rev. 1              | <p><b>Pharmaceutical Inventory Accountability</b><br/>Records relating to the pharmacy's acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Destruction records;</li> <li>• Dispensing registers and records/medication logs;</li> <li>• Clinic medication logs;</li> <li>• Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions, biologics inventory and distribution records);</li> <li>• Transfer records;</li> <li>• Vaccine sign out records;</li> <li>• Records of destruction as required by <a href="#">WAC 246-873-080(7)(e)</a>.</li> </ul> | <p><b>Retain</b> for 6 years after date of destruction/ disposition<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE2011-056<br>Rev. 0               | <p><b>Therapeutically Equivalent Drug Substitutions</b><br/>Records relating to authorizations for therapeutically equivalent drug substitutions in accordance with <a href="#">WAC 246-899-030(3)</a>.</p>  | <p><b>Retain</b> for 10 years after last authorized dispensation<br/><i>then</i><br/><b>Destroy.</b></p>    | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p> |

SUPERSEDED

### 6.3 QUALITY ASSURANCE AND CONTROL

*The activity of enacting policies, methods, and procedures to ensure the provision of quality drugs and medications.*

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

SUPERSEDED

## 7. RESEARCH MANAGEMENT

The function of managing or engaging in research activities.

### 7.1 CLINICAL TRIALS

*The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|---|---|--------------------------------------|
| HE2011-060<br>Rev. 0               | <b>Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved</b><br>Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where a Food and Drug Administration (FDA) application has been approved, retained in accordance with <u>21 CFR § 320.63</u> or <u>320.38</u> . | <b>Retain</b> for 5 years after approval of FDA application or supplemental application<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-061<br>Rev. 0               | <b>Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved</b><br>Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where no Food and Drug Administration application has been approved, retained in accordance with <u>21 CFR § 320.63</u> or <u>320.38</u> .   | <b>Retain</b> for 5 years after date of completion of related bioavailability study<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## 7.1 CLINICAL TRIALS

*The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|---|---|--------------------------------------|
| HE2011-062<br>Rev. 0               | <p><b>Device Trials</b><br/>Records relating to investigational medical device clinical trials retained in accordance with <u>21 CFR § 812.140</u>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Investigator records of receipt, use, shipment, or disposition of an investigational device;</li> <li>Investigator protocols and documentation showing dates and reasons of deviation from protocol;</li> <li>Sponsor records of device shipment and disposition;</li> <li>Signed investigator agreements;</li> <li>Sponsor records concerning adverse device effects;</li> <li>Other records required to be maintained by the Food and Drug Administration.</li> </ul> <p><i>Note: <u>21 CFR § 812.140(d)</u> requires the retention of device trial records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.</i></p> | <p><b>Retain</b> for 2 years after date investigation completed/terminated<br/><i>and</i><br/>2 years after records are no longer required as supporting documentation for premarket approval application or a notice of completion of a product development protocol<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-063<br>Rev. 0               | <p><b>Trial Drug Management – Food and Drug Administration Application Approved</b><br/>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration (FDA) application has been approved.</p> <p><i>Note: <u>21 CFR § 312.57</u> requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a FDA marketing application is approved.</i></p>   | <p><b>Retain</b> for 2 years after date marketing application is approved<br/><i>then</i><br/><b>Destroy.</b></p>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 7.1 CLINICAL TRIALS

*The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| HE2011-064<br>Rev. 0               | <p><b>Trial Drug Management – No Food and Drug Administration Application Approved</b><br/>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration (FDA) application has not been approved.</p> <p><i>Note: <u>21 CFR § 312.57</u> requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for two years after shipment and deliver of the drug for investigational use is discontinued and the FDA has been notified.</i></p>  | <p><b>Retain</b> for 2 years after investigation discontinued and FDA notified<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-065<br>Rev. 0               | <p><b>Investigators' Financial Interest</b><br/>Records relating to the financing of clinical investigations or bioequivalence studies from which data are intended to be submitted to the Food and Drug Administration as part of an application for market approval, retained in accordance with <u>21 CFR § 320.36(b)</u> or <u>21 CFR § 54.6</u>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Records showing financial interest or arrangement paid to investigators by sponsors as described in <u>21 CFR § 54.4(a)(3)(i)</u>;</li> <li>Records showing significant payments made by the sponsor to the investigator as described in <u>21 CFR § 54.4(a)(3)(ii)</u>;</li> <li>Records showing financial interests held by clinical investigators as described in <u>21 CFR § 54.4 (a)(3)(iii)</u>.</li> </ul> | <p><b>Retain</b> for 6 years after date of application approval<br/><i>then</i><br/><b>Destroy.</b></p>                | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-066<br>Rev. 0               | <p><b>In Vivo/In Vitro Tests</b><br/>Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product.</p> <p><i>Note: <u>21 CFR § 320.36(a)</u> requires the retention of all records of in vivo or in vitro tests conducted on any marketed batch of a drug product for at least two years after the expiration date of the batch.</i></p>  | <p><b>Retain</b> for 2 years after expiration date of the batch<br/><i>then</i><br/><b>Destroy.</b></p>                | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 7.1 CLINICAL TRIALS

*The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|---|--|--------------------------------------|
| HE2011-067<br>Rev. 0               | <p><b>Subject Case Histories – Food and Drug Administration Application Filed</b><br/>Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has been filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case report forms and supporting data;</li> <li>• Signed and dated consent forms;</li> <li>• Medical records.</li> </ul> <p><i>Note: 21 CFR § 312.64 requires the retention of drug disposition and case history records for two years following the date a FDA marketing applications is approved for the drug being investigated.</i></p> | <p><b>Retain</b> for 2 years after date marketing application is approved<br/><i>then</i><br/><b>Destroy.</b></p>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| HE2011-068<br>Rev. 0               | <p><b>Subject Case Histories – No Food and Drug Administration Application Filed</b><br/>Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has not been filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case report forms and supporting data;</li> <li>• Signed and dated consent forms;</li> <li>• Medical records.</li> </ul> <p><i>Note: 21 CFR § 312.64 requires the retention of drug disposition and case history records for two years after the investigation is discontinued and the FDA is notified.</i></p>                      | <p><b>Retain</b> for 2 years after investigation discontinued and FDA notified<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 7.2 INSTITUTIONAL REVIEW BOARDS

*The activity of operating, or having involvement with, an institutional review board.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|--|---|--|
| HE2011-069<br>Rev. 0               | <p><b><i>Institutional Review Boards (IRB) – General Board Records</i></b><br/>Records relating to Institutional Review Boards and their activities in the monitoring and oversight of human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• IRB review of research proposals and ongoing review activities;</li> <li>• Minutes of IRB meetings;</li> <li>• IRB member lists and credentialing.</li> </ul> <p><i>Note: 45 CFR § 46.115 (b) requires the retention of records relating to IRB activities for three years.</i></p>  | <p><b>Retain</b> for 3 years after date of document<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for permanent retention.</p> | <p><b>ARCHIVAL</b><br/>(Permanent Retention)<br/>NON-ESSENTIAL<br/>OPR</p> |
| HE2011-070<br>Rev. 0               | <p><b><i>Institutional Review Boards (IRB) – Principal Investigator Records</i></b><br/>Records relating to investigator activities in human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Documentation of uses and disclosures;</li> <li>• Authorization/consent forms;</li> <li>• Business partner contracts;</li> <li>• Notices of practice</li> <li>• Responses to requests to amend or correct information;</li> <li>• Client statements of disagreements and complaints.</li> </ul> <p>Excludes records relating to <b>grants administration</b> covered in <i>CORE – Financial Management</i>.</p> <p><i>Note: 45 CFR § 46.115 requires the retention of principal investigators’ records for six years after completion of research.</i></p> | <p><b>Retain</b> for 6 years after completion of research<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                              |

## 7.2 INSTITUTIONAL REVIEW BOARDS

*The activity of operating, or having involvement with, an institutional review board.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| HE2011-071<br>Rev. 0               | <p><b><i>Institutional Review Boards (IRB) – Research Conducted</i></b><br/>           IRB records which relate to specific research conducted or that document decisions pertaining to committee actions on research conducted.<br/>           Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Correspondence between the IRB and investigators/researchers;</li> <li>• Progress reports provided to IRB;</li> <li>• Reports of unanticipated problems involving risks to subjects or others;</li> <li>• Injury reports;</li> <li>• Significant new findings provided to subjects.</li> </ul> <p>Excludes records relating to <b>grants administration</b> covered in <u><i>CORE – Financial Management</i></u>.<br/> <i>Note: 45 CFR § 46.115(b) requires the retention of records relating to research conducted for three years after completion of research.</i></p> | <p><b>Retain</b> for 3 years after completion/termination of research<br/> <i>then</i><br/> <b>Arrange</b> for appraisal and selective retention by Washington State Archives.</p> | <p><b>ARCHIVAL</b><br/>           (Appraisal Required)<br/> <b>ESSENTIAL</b><br/>           OPR</p> |

SUPERSEDED

## 8. VITAL RECORDS MANAGEMENT

The function of managing vital records created by the agency.

### 8.1 CERTIFICATION

*The activity of certifying vital events.*

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

**8.1 CERTIFICATION**

*The activity of certifying vital events.*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| HE55-01F-08<br>Rev. 1                    | <p><b><i>Indexes to Vital Records</i></b><br/>Indexes and other finding aids used to access vital records created by the agency, such as birth or death certificates.</p> | <p><b>Retain</b> until the archival records are transferred to Washington State Archives<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for permanent retention.</p> | <p><b>ARCHIVAL</b><br/>(Permanent Retention)<br/><b>ESSENTIAL</b><br/>OPR</p> |

**SUPERSEDED**

## 9. LEGACY RECORDS

The function of maintaining and preserving records no longer created and/or received by the agency *but which may continue to be in the agency's possession.*

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



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