

I. ROUTINE ITEMS

B. Adoption of Today's Agenda – August 20, 2015

C. Approval of Minutes – June 25, 2015



STATE OF WASHINGTON

LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist

PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

August 20, 2015 – 10:00 a.m.
Archives Conference Room

1129 Washington St SE, Olympia, WA, 98504

AGENDA

I. ROUTINE ITEMS

- A. Call to Order
- B. Adoption of Today's Agenda
- C. Approval of Minutes for June 25, 2015

II. NEW BUSINESS/ACTION ITEMS

- A. *Health Departments and Districts Records Retention Schedule (Ver.4.1)* – Julie Blecha
- B. *Local Government Common Records Retention Schedule (CORE) (Ver.3.2)* – Blecha
 - Update to one series only:
GS2014-030, ***Financial Transactions – Sensitive Cardholder Data***

III. WASHINGTON STATE ARCHIVES UPDATES

- A. Announcements from the State Archivist – Steve Excell
- B. Information Governance Enterprise Content Management Initiative Update – Russell Wood
- C. Local Government Records Retention Program Update – Wood
- D. Revision of Records Retention Schedules – Blecha

IV. NEXT MEETING

- A. October 29, 2015

V. ADJOURNMENT



STATE OF WASHINGTON
LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

June 25, 2015 – 10:00 a.m.
State Archives Conference Room
1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Cindy Evans, Chair – State Auditor’s Office; Matt Kernutt – Attorney General’s Office; Steve Excell – State Archivist.

Staff Present: Russell Wood – State Records Manager; Julie Blecha – Local Government Records Retention Specialist.

I. ROUTINE ITEMS

A. Call to Order

Cindy Evans called the meeting to order at 10:01 a.m.

B. Adoption of Today’s Agenda

Motion to adopt the agenda as presented; Matt Kernutt; second by Steve Excell.

Resolution: Motion carried.

C. Approval of Minutes for December 18, 2014

Motion to approve the minutes as presented: Evans; second by Kernutt.

Resolution: Motion carried.

II. NEW BUSINESS/ACTION ITEMS

A. County Coroners and Medical Examiners Records Retention Schedule (Ver. 2.0) – Julie Blecha

Blecha distributed a letter received from Tim Davidson, President, Washington Association of Coroners and Medical Examiners (WACME) supporting LRC approval of the revised retention schedule. Evans stated that some counties keep very informal morgue registers – sometimes even on a white board – and she wondered how those records are being retained (for 6 years), and that one of the purposes of updating the retention schedules is so that agencies can become aware of what the retention requirements actually are.

Motion to approve the *County Coroners and Medical Examiners Records Retention Schedule (Version 2.0)* as presented; Excell, second by Evans.

Resolution: Motion carried.

Blecha thanked WACME Board Members and County Coroner and Medical Examiner participants who worked so diligently over the past year on this revision project, including:

- Tim Davidson, Cowlitz County Coroner
- Gary Warnock, Thurston County Coroner
- Dan Blasdel, Franklin County Coroner
- Greg Sandstrom, Kitsap County Coroner
- Craig Morrison, Grant County Coroner
- Rea Culwell, Columbia County Prosecutor/Coroner
- Wes Stockwell, Mason County Coroner
- Dr. Thomas Clark, Pierce County Medical Examiner.

B. Financial Transactions – *Sensitive Authentication Data (GS2014-030)* Update Discussion – Blecha

The State Auditor’s Office (SAO) learned that local government agencies are experiencing difficulty determining which portions/data elements of financial transaction records are covered by GS2014-030, *Financial Transactions - Sensitive Authentication Data* in the [Local Government Common Records Retention Schedule \(CORE\)](#). Evans stated that modifications to GS2014-030 may be necessary, as well as to the advice sheet published by Washington State Archives (WSA).

Blecha presented the updated *draft* GS2014-030 and advice sheet for review and discussion. Evans clarified that several SAO staff reviewed the language for accuracy. Discussion ensued about providing more specific language relating to primary account numbers. Kernutt requested that this revision be completed as soon as possible and not be delayed until the next major *CORE* update. Blecha will update GS2014-030 in *CORE* 3.2 for the July LRC meeting.

III. WASHINGTON STATE ARCHIVES (WSA) UPDATES

A. Announcements from the State Archivist – Steve Excell

Excell discussed the space challenges at all WSA branches, and said that funding for a temporary records storage space was included in both the House and Senate budgets. In addition, a pre-design request for a “permanent home” for the State Archives and the State Library is being considered by the Legislature.

B. Information Governance Enterprise Content Management (ECM) Initiative Update – Russell Wood

Wood updated members on a project that WSA has undertaken (with the Office of the Chief Information Officer and other state agencies) to negotiate master contracts for quality ECM systems. The contract(s) will be available for use by state and local government agencies, and the Department of Enterprise Services is expected to announce the awarded contracts in July. There will be a number of products available to cover a range of agency needs, and agencies need to do a lot of work assessing their specific needs *before* deciding which software to utilize. Wood stated that ECMs are valuable tools, “but you still need to know what you’re doing.” Excell commented that unless an agency has its electronic records management “housekeeping” in order, the software won’t do much good. Danelle Court from City of Bellevue concurred that “planning is essential”.

C. Local Government Records Retention Program Update – Wood

Since 2008, WSA staff have been updating records retention schedules and some still haven’t been updated yet. We are looking at how to best keep two tracks going. The first being the major revisions that Julie has been doing – fixing things properly in consultation with local governments – that take a lot of dedicated time and effort. The other track we need is a quicker option for minor updates and fixes (like *Sensitive Authentication Data*) without them derailing the major reviews. We are trying to prioritize problem areas where we’re getting the most questions from the largest number of people, since answering questions tends to interrupt and delay revision projects.

D. Revision of Records Retention Schedules – Blecha

Blecha referenced the advice sheet reissued in June, [Records Retention Schedule Revision Plan \(Local Government\)](#), and said WSA is trying to focus on updating CORE Human Resource Management and the Financial Management – Payroll activity. A reference group of 71 local agency volunteers from all over the state are providing subject matter expertise, and a preliminary draft of nine “buckets” distributed in April, and a lot of good feedback was received in May. Another draft is being developed for distribution to the group.

Thurston County Prosecutor’s Office has submitted suggestions for updating the CORE Legal Affairs activity, with changes mirroring the Office of the Attorney General’s records retention schedule.

Concerns about records documenting fire department/district personnel training and certification have surfaced over the years. Danelle Court, City of Bellevue, was instrumental in identifying the huge variety and quantity of records relating to this highly regulated training. After meeting with staff from the State Fire Marshall’s office, we know that all certifications are retained there permanently, and so the training materials can be managed by local agencies the same as any other type of training because the Fire Marshall is retaining the career-long certification records permanently.

We continue to receive a lot of comments and concerns about the [Land Use Planning and Permitting Records Retention Schedule](#). In consideration of the volume of these records for both cities and counties, we have moved its revision up the priority list. So, once the CORE updates are complete, WSA will proceed with UTILITIES and LAND USE PLANNING.

The local government listserv now has 2,988 subscribers, with 258 new members since the December LRC meeting. Blecha stated it is satisfying knowing that when WSA sends a bulletin it is reaching a very broad audience all across the state, and hopes to have every single local government agency registered some day. Before the listserv was created, Regional Archivists did their best to convey information to agencies individually. Now, they can send targeted emails to their region’s subscribers, which has been useful – especially for distributing regional training announcements.

Excell said that one of WSA’s goals is to use technology to provide more training by creating webinars and even short videos for You-Tube (such as how to fold an Archives box). This strategy will better equip local agency staff with the information they need when they need it. Staff will continue to conduct in-person and regional trainings as well as develop our website into a useful tool for agencies.

Evans revealed that due to budget constraints, the SAO has relied heavily on webinars for staff training purposes. However, in-person contact remains an invaluable way of connecting with folks managing public records.

Blecha reported that at the May WASBO conference in Vancouver, WSA staffed an information table and school district personnel were able to stop by for one-on-one conversations, which was very successful.

IV. NEXT MEETING July 30, 2015

V. ADJOURNMENT: 10:36 am

CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:

I, Cindy Evans, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on June 25, 2015, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington, and that a quorum was present.

Chair Signature

Date

II. NEW BUSINESS/ACTION ITEMS

A. Health Departments and Districts Records Retention Schedule (Ver. 4.1)

- Explanatory Statement
- *Draft* Version 4.1
- Summary of Changes

Health Departments and Districts Records Retention Schedule (Ver. 4.1)

Explanatory Statement

In response to requests from health department and district staff around the state, Washington State Archives has completed a *minor* update to the [Health Departments and Districts Records Retention Schedule](#). In an effort to provide quick and efficient service, this project was fast-tracked so that timely corrections could be made and obvious gaps covered. Every *records series* was not reviewed or analyzed, nor is this revision intended to address all of the complex issues that need addressing. A future revision project will include a review of each records series as well as discussions about (additional) gaps and possible redundancies.

The draft was distributed on the local government listserv on July 31st to give agencies 3 weeks to review and comment. So far, King County has provided feedback, which we were able to incorporate into the draft! We believe the following modifications and additions will be useful to all health departments and districts:

- ✓ Retention schedule format modernized to align with the other local government retention schedules. (Citations hyperlinked; “item numbers” removed; archival language made uniform.)
- ✓ 2 new series added to cover gaps:
 - Environmental monitoring of non-agency assets *for public health purposes*; and,
 - Environmental laboratory testing offered *as a service to the general public*.
- ✓ 17 records series updated, corrected and/or enhanced to provide clarity, accuracy, and user ease.
- ✓ 1 records series discontinued (HE2011-041, *A-19 Billing Requests*) because the records are covered in [CORE](#).

All proposed changes are highlighted in the revised draft as follows:

1. **BLUE series are new:**
 - ***Environmental Monitoring (Agency Jurisdiction)*** (HE2015-001, p. 12).
 - ***Environmental Testing (Service to Public)*** (HE 2015-002 p. 24).
2. **YELLOW series have been modified.** Agencies should note this small changes; new “Rev. #s” have been assigned.
3. **GRAY series have minor, inconsequential tweaks.** Typographical error corrections, formatting updates, and inconsequential language modifications are not considered revisions; hence, no new “Rev. #” has been assigned to these DANs.

LRC AGENDA PACKET DRAFT



Health Departments and Districts Records Retention Schedule LRC DRAFT Version 4.1 – August 2015

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**.

For the State Auditor: Cindy Evans

For the Attorney General: Matt Kernutt

The State Archivist: Steve Excell

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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.
Draft 4.1	Scheduled for August 20, 2015	Entire schedule reformatted/modernized. Citations hyperlinked; minor errors corrected; <i>some</i> language clarified. Two new series: Environmental Monitoring (Agency Jurisdiction) (HE2015-001, p. 12) and Environmental Testing (Service to Public) (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 revisions; hence, no new “Rev. #” has been assigned.</i>) *****IN THIS DRAFT, BLUE series are new; YELLOW series are modified; GRAY series have minor, inconsequential tweaks.*****

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

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Health Departments and Districts Records Retention Schedule
LRC DRAFT Version 4.1 – August 2015

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

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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 Rev. 1	<p>Client Accidents/Incidents – No Claim Filed (Age 18 and Older) Records relating to accidents/incidents involving clients age 18 and older in the course of receiving health-related services, and where claims for damages are <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"> • Hazardous materials accidents and incidents covered by CORE series GS50-19-03. • Accidents/incidents involving non-clients covered by CORE series GS2010-081. • Client accident/incident reports – no claim filed (under age 18) covered by HE2011-003.----- 	<p>Retain for 8 years after date of accident/injury <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-003 Rev. 0	<p>Client Accidents/Incidents – No Claim Filed (Under Age 18) Records relating to accidents/incidents involving clients younger than age 18 in the course of receiving health-related services, and where claims for damages are <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"> • Hazardous materials accidents and incidents covered by CORE series GS50-19-03. • Accidents/incidents involving non-clients covered by CORE series GS50-06C-03. • Client accident/incident reports – no claim filed (age 18 and older) covered by HE2011-002.----- 	<p>Retain for 8 years after injury/accident <i>and</i> 6 years after juvenile attains age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

LRC AGENDA PACKET DRAFT



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 Rev. 0	<p>Health Insurance Portability and Accountability Act (HIPAA) – Accountings of Disclosure Records of client requests for accountings of protected health information disclosures performed by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests to inspect or obtain copies of any protected health information; • Documentation of clients taking exception to information in their records with which they disagree, and/or request corrections; • Disclosures of individuals’ protected health information made by the agency or its business associates. <p><i>Note: 45 CFR 164.528(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>Retain for 6 years after date of disclosure <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-005 Rev. 1	<p>Health Insurance Portability and Accountability Act (HIPAA) – Amendments to Protected Health Information Records relating to patient requests for amendments to protected health information pursuant to 45 CFR 164.526.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for and statements of amendment; • Documentation of provider challenges to proposed amendment; • Internal and external correspondence relating to requests/amendments; • Provider statements of disagreement. 	<p>Retain until destruction of protected health information subject to amendment(s) <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

LRC AGENDA PACKET DRAFT



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

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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 Rev. 1	Clinical Instrument Studies Records relating to clinical laboratory instrument studies. <i>Note: WAC 246-338-070 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 <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
HE2011-012 Rev. 0	Radiation Instrument Calibration (Drinking Water) Calibration data and maintenance of radiation instruments and analytical balances used to analyze drinking water. <i>Note: The Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter VI, page VI-8 requires the permanent retention of records documenting calibration data and maintenance records on all radiation instruments and analytical balances.</i>	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
HE2011-013 Rev. 0	Sterilizer Spore Tests Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030 (11)(d). <i>Note: WAC 246-145-030(11)(d) requires the retention of records relating to sterilizer testing for at least 3 years.</i>	Retain for 3 years after date of test <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL 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 Rev. 1	Business Registers Registers of business establishments that are subject to periodic inspections to evaluate compliance with applicable laws and regulations.	Retain until obsolete or superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
HE55-01J-04 Rev. 1	Condemnation/Demolition Orders Records relating to the demolition, decontamination, or disposal of a structure or vehicle by order of the agency in accordance with RCW 64.44.050 . Excludes <i>Hazardous Waste – Chemical Site Inspections</i> covered by HE55-01M-02.	Retain for 6 years after date of order <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

LRC AGENDA PACKET DRAFT



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

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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
HE55-02L-01 Rev. 1	<p>Facility Inspections (General) 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"> • Dairies, food, meat processing, and food establishments; • Living environments such as parks, recreational facilities, schools, and farmworker housing; • Spas, swimming beaches, and pools; • Sewers (public and private); • Schools. <p>Excludes:</p> <ul style="list-style-type: none"> • Solid waste facility inspections covered by HE55-01J-24. • Records relating to agency facility inspections covered by CORE series GS50-06B-27. 	<p>Retain for 6 years after date of inspection <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
HE55-01M-01 Rev. 1	<p>Hazardous Waste – Business Audits Records relating to audits of businesses responsible for creating hazardous waste.</p>	<p>Retain for 6 years after completion of audit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

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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 Rev. 1	<p>Hazardous Waste – Chemical Site Inspections Records relating to the agency's inspection of chemical sites which may, or are known to, collect or create hazardous waste.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Inspection documentation; • Documentation of chemical site's corrective actions in response to inspections. <p>Excludes hazardous materials abatement project files covered by CORE series GS50-19-10.</p>	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
HE55-01M-03 Rev. 1	<p>Hazardous Waste – Collector's Audits Records relating to inspections of hazardous waste collectors.</p>	<p>Retain for 6 years after completion of audit <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
HE2011-014 Rev. 0	<p>On-Site Sewage Systems – Maintenance and Inspection 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>Retain until notification that system has been decommissioned <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

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

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

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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 Rev. 1	Water Well Reports Copies of water well reports submitted by well drillers to the Department of Ecology describing the location, ownership, construction details, and lithology of completed wells.	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

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

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

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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 Rev. 1	Inter and Disinter Permits Records relating to the issuance of permits for the interment or disinterment of deceased persons.	Retain for 6 years after expiration of permit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
HE55-01A-10 Rev. 1	Licenses Issued Registers Registers of licenses issued by the agency.	Retain for 6 years after expiration of last license listed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
HE55-01J-18 Rev. 1	On-Site Sewage Systems – Permits 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"> • Approved, denied, and lapsed permits; • Percolation tests and soil probes; • Permit application materials; • Waivers granted. 	Retain until notification that system has been decommissioned <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR

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

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

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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 Rev. 0	<p><i>Drinking Water – Laboratory Assessments/Certification Reviews</i> 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 (5th Edition) Chapter III, page III-9 requires the retention of records relating to laboratory assessments and on-site certification reviews for at least 6 years to include the last two on-site audits.</i></p>	<p>Retain for 6 years after completion of assessment/review <i>and</i> until completion of two subsequent audits <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-020 Rev. 0	<p><i>Drinking Water – Radionuclide Analysis of Compliance</i> 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 (5th Edition) Chapter IV, page IV-12 requires the retention of records relating to radionuclide analyses of compliance samples for 10 years (see 40 CFR 141.33).</i></p>	<p>Retain for 10 years after date of report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-026 Rev. 0	<p><i>Effluent/Discharge Monitoring Data and Supporting Documentation</i> 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"> • Biosolid testing (e.g. land application); • Field/remote testing; • Industrial pre-treatment monitoring; • Solid waste testing; • Wastewater treatment monitoring (operational monitoring, etc.). 	<p>Retain for 10 years after testing completed <i>and</i> until fulfillment of retention requirement(s) specified on discharge permit <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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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 Rev. 0 NEW	<p><i>Environmental Testing (Service to Public)</i> Records relating to environmental <i>sample</i> testing <i>offered as a service to the general public.</i> 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"> • Original request form submitted by requestor; • Sample tracking (chain of custody) records; • Test results and data; • Records documenting what was provided to the requestor (test reports, etc.). <p>Excludes:</p> <ul style="list-style-type: none"> • Environmental <i>monitoring</i> covered by HE2015-001. • Monitoring of <i>agency-owned assets</i> (buildings, infrastructure, etc.) covered by CORE. 	<p>Retain for 6 years after results provided to requestor <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-021 Rev. 0	<p><i>Laboratory Quality Assurance and Control (Environmental Lab)</i> 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"> • Documentation of analytical methods; • Instrument calibrations; • Proficiency testing; • Method detection limit studies; • Method validation studies. 	<p>Retain 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> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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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 Rev. 0	<p>Public Water Systems – Analysis for Lead/Copper 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"> • Instrument logs; • Sample collection and control documentation; • Raw data and calculations; • Quality control data. <p>Excludes:</p> <ul style="list-style-type: none"> • Bacteriological and turbidity analyses covered by HE2011-023. • Chemical analyses covered by HE2011-024. • General public water system analyses covered by HE55-02H-03. <p><i>Note: The Environmental Protection Agency’s Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter IV, page IV-9 requires the retention of records relating to chemical analyses for lead and copper for twelve years (see 40 CFR 141.91).</i></p>	<p>Retain for 12 years after date of report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

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

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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 Rev. 1	<p>Public Water Systems – General Records relating to the analysis of Group A and/or Group B public water systems as defined by chapter 246 RCW where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Instrument logs; • Sample collection and control documentation; • Raw data and calculations; • Quality control data. <p>Excludes:</p> <ul style="list-style-type: none"> • Analyses for lead/copper covered by HE2011-022. • Bacteriological and turbidity analyses covered by HE2011-023. • C--hemical analyses covered by HE2011-024. 	<p>Retain for 5 years after conclusion of analysis <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>
HE2011-025 Rev. 0	<p>Sample Management 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"> • Chain of custody documentation; • Sample receipt documentation. 	<p>Retain for 10 years after conclusion of sample testing <i>then</i> Destroy</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

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

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

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

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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 Rev. 2	<p><i>Client Medical Records – Age 18 and Over</i> 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"> • Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC); • Medication administration records; • Expedited Partner Therapy (EPT) prescription files if partners are not clients of the agency; • Client treatment history and treatment summaries; • Dental records. <p>Excludes:</p> <ul style="list-style-type: none"> • Mental health counseling records covered by HE2011-032. • Radiologic reports covered by HE2011-034. • Client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031. 	<p>Retain for 8 years after last provision of health-related services then Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

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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 Rev. 1	<p><i>Client Medical Records – Under Age 18</i> 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"> • Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC); • Medication administration records; • Expedited Partner Therapy (EPT) prescription files if partners are not clients of the agency; • Client treatment history and treatment summaries; • Dental records. <p>Excludes:</p> <ul style="list-style-type: none"> • Mental health counseling records covered by HE2011-032. • Radiologic reports covered by HE2011-034. • Client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031. 	<p>Retain for 8 years after last provision of health-related services <i>and</i> 3 years after client attains age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
HE2011-031 Rev. 1	<p><i>Client Medical Records – Disclosure Authorized</i> Client medical records for which a disclosure has been authorized in accordance with RCW 70.02.030.</p> <p><i>Note: RCW 70.02.160 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>Retain for 1 year after receipt of authorization to disclose <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

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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 Rev. 0	<p>Counseling 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"> • Counseling notes and summaries; • Prescriptions. <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: WAC 246-809-035(4) 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>Retain for 5 years after client's last visit <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
HE2011-033 Rev. 0	<p>Requests Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p>	<p>Retain until added to client's medical record.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-034 Rev. 0	<p>Radiologic Reports Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images where the radiologist's final report has been added to the client medical record.</p> <p><i>Note: 42 CFR 482.26(d)(2) requires the retention of radiologic reports and printouts for 5 years.</i></p>	<p>Retain for 5 years after date of report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-035 Rev. 0	<p>Staff Signature Lists Records documenting the signatures of staff who sign charts and other documentation relating to the provision of health-related services on behalf of the agency.</p>	<p>Retain for 8 years after obsolete or superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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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 Rev. 1	<p>Quality Assurance/Control (Clinical Laboratory) 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"> • Performance specifications; • Requisitions; • Instrument documentation; • Specimen identification and tracking records. <p>Note: WAC 246-338-070 requires the retention of records relating to clinical quality assurance and control records for 2 years.</p>	<p>Retain for 2 years after completion of testing <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HE2011-036 Rev. 0	<p>Specimen Testing (Clinical Laboratory) 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"> • Accession/test logs; • Test requisitions (or equivalent); • Test records and reports. <p>Note: WAC 246-338-070 requires the retention of clinical lab records and reports for 2 years.</p>	<p>Retain for 2 years after completion of testing <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HE2011-037 Rev. 0	<p>Test Procedures Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105.</p> <p>Note: WAC 246-338-070, 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>Retain for 2 years after procedure has been discontinued <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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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
HE2011-038 Rev. 0	<i>Test Reports – General</i> Reports and results for specimens tested at a clinical laboratory and where not covered by a more specific series. <i>Note: WAC 246-338-070 WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.</i>	Retain for 2 years after examination of slide <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

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

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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 Rev. 0	<p><i>Emergency Incident Response</i> 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"> • Staff badging and credentialing information; • Correspondence; • Incident action plans and other planning and procedures developed on an incident-specific basis; • Staff schedules and station assignments; • Update (“situation”) reports for internal and/or public use. 	<p>Retain for 8 years after provision of last incident-related services <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
HE55-01D-05 Rev. 2	<p><i>Epidemiologic Investigations and Reports</i> 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>Retain for 6 years after date of record or report <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
HE55-01D-14 Rev. 1	<p><i>Positive Culture Notifications</i> Notifications received from laboratories regarding positive cultures and preliminary test results for certain diseases and conditions pursuant to WAC 246-101-210.</p>	<p>Retain for 2 years after date of notification <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

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

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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)
[\(<http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures>\)](http://www.doh.wa.gov/ForPublicHealthandHealthcareProviders/PublicHealthSystemResourcesandServices/LocalHealthResourcesandTools/WIC/PolicyProcedures).

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

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



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 Rev. 0	<i>Staff Plans/Schedules</i> Records relating to staff plans and schedules for nursing staff, social workers and other medical staff. Excludes physician call schedules covered by HE2011-050.	Retain until completion of Joint Commission on Accreditation of Healthcare Organizations audit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-050 Rev. 0	<i>Physician Call Schedules</i> Schedules documenting on-call schedules for hospital physicians. Excludes staff plans/schedules covered by HE2011-049. <i>Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules.</i>	Retain for 5 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

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5.2 STAFF DEVELOPMENT/TRAINING

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

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

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

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

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

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



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

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

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

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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 Rev. 0	<p>Subject Case Histories – Food and Drug Administration Application Filed Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has been filed. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case report forms and supporting data; • Signed and dated consent forms; • Medical records. <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>Retain for 2 years after date marketing application is approved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HE2011-068 Rev. 0	<p>Subject Case Histories – No Food and Drug Administration Application Filed Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration (FDA) application has not been filed. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case report forms and supporting data; • Signed and dated consent forms; • Medical records. <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>Retain for 2 years after investigation discontinued and FDA notified <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

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

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

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8.1 CERTIFICATION

The activity of certifying vital events.

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

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

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SUMMARY OF CHANGES

To better assist local government agencies in the retention, destruction, and transfer of their public records, Washington State Archives is continuing to implement improvements to records retention schedules.

All *previously approved* disposition authorities for records that are covered by the *Health Departments and Districts Records Retention Schedule Version 4.0* are **revoked**, including those listed in all general **and** agency unique retention schedules. Agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

This revision guide has been prepared as a helpful tool for agency staff. It highlights changes to records retention requirements as approved by the Local Records Committee on **August 20, 2015** pursuant to RCW 40.14.070. **This guide is NOT the records retention schedule, itself.** Rather, it is provided as a “crosswalk” to be used while transitioning from the previous version (4.0) to the *current, approved* version (4.1).

In addition to updating the format and other “housekeeping matters”, many changes are **based on input, feedback, and requests** from Health Department and District staff, and county records managers. Because the changes are of a minor nature and mostly for clarification/accuracy, Washington State Archives prepared the updates without convening an *official* reference group. And please note that every *records series* was not reviewed or analyzed. A future revision project will include a review of each records series as well as discussions about gaps and possible redundancies. In the meantime:

- ✓ Entire retention schedule format modernized to align with the other local government retention schedules.
- ✓ 2 new series added to cover environmental monitoring of non-agency assets *for public health purposes* and environmental laboratory testing offered *as a service to the general public*.
- ✓ 17 records series updated, corrected and/or enhanced to provide clarity, accuracy, and user ease.
- ✓ 1 records series discontinued (HE2011-041, **A-19 Billing Requests**) because the records are covered by existing series in the [Local Government Common Records Retention Schedule \(CORE\)](#).

Note: **CORE** = Local Government Common Records Retention Schedule
DAN = Disposition Authority Number

NEW RECORDS SERIES

Note: These two new series provide disposition authority for certain records held by many agencies. While they do not cover all existing environmental laboratory records, they address two gaps.

Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Environmental Health Mgmt: Auditing and Inspection	Environmental Monitoring (Agency Jurisdiction)	HE2015-001 Rev. 0 p. 12	Retain for 6 years after hazard/nuisance resolved (if identified) and monitoring discontinued then Contact Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	Provides specific disposition authority for records relating to monitoring areas within the agency's jurisdiction <i>for public health purposes</i> . (Excludes monitoring of agency assets, which is covered in <i>CORE</i> .)
Environmental Health Mgmt: Testing and Analysis	Environmental Testing (Service to Public)	HE2015-002 Rev. 0 p. 24	Retain for 6 years after results provided to requestor <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	Provides specific disposition authority for environmental laboratory records where testing is completed <i>as a service</i> to the public (and not on behalf of the agency).

DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANS)

HE2011-041 has been discontinued; the records are covered by existing records series in the [Local Government Common Records Retention Schedule \(CORE\)](#).

Discontinued DAN Ver 4.0	Version 4.0 Title	Version 4.0 Retention	Local Gov't Common Records Retention Schedule (CORE) DAN	CORE Ver. 3.1 Title	CORE Ver. 3.1 Retention and Disposition	Rationale
HE2011-041 Ver. 4.0 p. 44	A-19 Billing Requests	Retain for 6 years after date submitted then Destroy.	CORE p. 90 GS2011-184	Financial Transactions – Bond, Grant and Levy Projects	Retain for 6 years after final bond payment or 6 years after completion of levy/ grant project or terms of grant agreement, whichever is later then Destroy	Most purchase and sales documentation is covered by one of these two <i>CORE</i> series. <i>Exceptions (grants, capital assets, etc.) are covered by more specific records series. Please read exclusions.</i>
			CORE p. 91 GS2011-183	Financial Transactions – General	Retain for 6 years after end of fiscal year then Destroy.	

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE2011-001 Ver. 4.0 p.5 Ver. 4.1 p.5	Client Relations	Retain for 8 years after inquiry/ complaint/grievance then Destroy.	No change	Retain for 8 years after inquiry/complaint/ grievance matter resolved then Destroy.	More precisely defined retention cut-off language.
HE2011-002 Ver. 4.0 p. 6 Ver. 4.1 p. 6	Client Accidents/ Incidents – No Claim Filed (Age 18 and Older)	Retain for 8 years after date of accident/injury then Destroy.	No change	No change	Corrected CORE DAN reference in 2 nd exclusion: “Accidents/Incidents involving non-clients covered by CORE series GS2010-081.”
HE2011-005 Ver. 4.0 p.7 Ver. 4.1 p.7	Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information	Retain until destruction of protected health information subject to change(s) then Destroy.	Health Insurance Portability and Accountability Act (HIPAA) – Amendments to Protected Health Information	Retain until destruction of protected health information subject to amendment(s) then Destroy.	Provided clarifying language to title, description, and retention cut-off, as well as examples of the types of records covered by this series.
HE55-01F-04 Ver. 4.0 p.17 Ver. 4.1 p.18	Burial/ Cremation/ Transit Permits	Retain for 1 year after expiration of permit then Transfer to WSA for appraisal and selective retention.	No change	No change	Enhanced description to specifically include <i>notices of removals</i> .
HE55-01D-06 Ver. 4.0 p.18 Ver. 4.1 p. 19	Food Borne Illness Complaints and Investigations	Retain until no longer needed for agency business then transfer to WSA (for permanent retention).	No change	Retain for 6 years after matter settled then Destroy	Designation changed to NON-ARCHIVAL. Summary reports submitted to WA State Department of Health are designated ARCHIVAL in DOH’s agency schedule. Detailed complaint and investigation records have been determined to not have historical value by WSA.

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE55-01C-02 Ver. 4.0 p. 31 Ver. 4.1 p. 29	Screening and Referral Logs	Retain for 2 years after screening/referral then Destroy.	Screening and Referral	No change	Enhanced series title and description to make more inclusive (and not cover solely logs). Added exclusion for <i>Client Medical Records covered by HE55-01B-01 and/or HE2011-030</i> .
HE55-01D-04 Ver. 4.0 p.32 Ver. 4.1 p. 32	Master Patient Index	Retain until destruction of pertinent medical record then Transfer to WSA for appraisal and selective retention.	Master Client/Patient Index	No change	Added "Client" to title for uniformity ; enhanced description for precision.
HE2011-030 Ver. 4.0 p. 35 Ver. 4.1 p. 33	Client Medical Records – Age 18 and Over	Retain for 8 years after last provision of health-related services then Destroy.	No change	No change	Added bulleted item to include <u>Expedited Partner Therapy</u> (EPT) prescription records for unknown partners who are not clients of the agency . (If the partner is "known", then these records would be covered the same as for any other client.) See Centers for Disease Control and Prevention website at: http://www.cdc.gov/std/ept/default.htm
HE55-01D-04 Ver. 4.0 p. 36 Ver. 4.1 p. 20	Client Medical Records – Under Age 18	Retain for 8 years after last provision of health-related services and 3 years after client attains age 18 then Destroy.	No change	No change	See Centers for Disease Control and Prevention website at: http://www.cdc.gov/std/ept/default.htm
HE2011-031 Ver. 4.0 p. 36 Ver. 4.1 p. 33	Client Medical Records – Disclosure Authorized	Retain for 1 year after receipt of authorization to disclose then Destroy.	No change	No change	Citation corrected. Disclosure authorization regulated by RCW 70.02.030 .
HE2011-039 Ver. 4.0 p. 41 Ver. 4.1 p. 37	Emergency Detention Orders	Retain for 3 years after expiration of order then Transfer to WSA for appraisal and selective retention.	No change	No change	Citation corrected. WAC 246-100-040 regulates procedures for isolation or quarantine.

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE55-01D-05 Ver. 4.0 p.42 Ver. 4.1 p. 38	Epidemiologic Investigations and Reports	Retain for 6 years after date of record or report <i>then</i> Transfer to WSA for appraisal and selective retention.	No change	No change	Modified description to clarify that this series does <u>NOT</u> cover individual client treatment records. (See Client Medical Records).
HE55-01D-13 Ver. 4.0 p. 43 Ver. 4.1 p. 64	Sexually Transmitted Disease Case Reports	Retain for 2 years after final report activity <i>then</i> Transfer to WSA for appraisal and selective retention.	No change	No change	Modified description to clarify that this series does <u>NOT</u> cover individual client treatment records. (See Client Medical Records).
HE2011-051 Ver. 4.0 p. 49 Ver. 4.1 p. 64	Client Profile and Medication Records – Age 18 and Over	Retain for 8 years after date of last dispensing activity <i>then</i> Destroy.	No change	No change	Enhanced description for clarity.
HE2011-052 Ver. 4.0 p. 50 Ver. 4.1 p. 64	Client Profile and Medication Records – Age 18 and Over	Retain for 8 years after date of last dispensing activity <i>then</i> Destroy.			
HE2011-070 Ver. 4.0 p. 59 Ver. 4.1 p. 52	Institutional Review Boards – Principal Investigator Records	Retain for 6 years after completion of research <i>then</i> Destroy.	No change	No change	Updated exclusion(s) for records relating to grants.
HE2011-070 Ver. 4.0 p.60 Ver. 4.1 p. 53	Institutional Review Boards (IRBs) – Research Conducted	Retain for 3 years after completion/ termination of research <i>then</i> Arrange for appraisal and selective retention by WSA.	No change	No change	Records documenting all resources received and expended by the agency for grant-funded projects are covered by CORE series GS2011-183, Financial Transactions (Bond, Grant and Levy Projects) .

For assistance and advice in applying records retention schedules,
please contact Washington State Archives at:
recordsmanagement@sos.wa.gov
or contact your Regional Archivist.

II. NEW BUSINESS/ACTION ITEMS

B. *Local Government Common Records Retention Schedule (CORE) Ver. 3.2*

- Update to GS2014-030, ***Financial Transactions – Sensitive Cardholder Data***
- Updated advice sheet

(No Summary of Changes)

LOCAL RECORDS COMMITTEE DRAFT



*Local Government Common Records Retention Schedule (CORE)
Draft Version 3.2 (August 20, 2015)*

This schedule applies to: All Local Government Agencies

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of all local government agencies relating to the common functions of the management of the agency, and management of the agency's assets, finances, human resources and information resources. It is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

All current approved records retention schedules can be accessed online at: <http://www.sos.wa.gov/archives/recordsretentionschedules.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**.

For the State Auditor: Cindy Evans

For the Attorney General: Matt Kernutt

The State Archivist: Steve Excell

LOCAL RECORDS COMMITTEE DRAFT



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 16, 2008	Consolidation of existing records series common to all local government agencies (from all local government general schedules) into a single records retention schedule. No changes to records series titles, descriptions, retention periods, disposition authority numbers (DANs), or archival designations. EXCEPTION: All duplicate DANs have been assigned new DANs. New series relating to Electronic Imaging Systems (EIS) source documents (DAN 50-09-14).
2.0	January 28, 2010	Complete revision of Information Management function. New Records Conversion activity created. Library records series transferred from <i>Local Government General Records Retention Schedule (LGRRS) Version 5.0</i> and updated. Electronic Information Systems activity completely revised and placed in Asset Management function. New archival designations introduced in all <i>new and revised</i> records series. (Definitions can be found in the Glossary.) Revision numbers have been added to all Disposition Authority Numbers (DANs). A new section, Records with Minimal Retention Value, covers records previously covered by GS50-02 (which has been discontinued). Removed "Secondary Copy" and "Remarks" columns in all activities with <i>new and revised</i> records series. Also removed extraneous notes about revisions and corrections in all records series.
2.1	July 29, 2010	Records series in the Risk Management/Insurance and Legal sections (covering accidents/incidents, guardian permission for minors, and claims for damages) have been revised. The Industrial Insurance (workers' compensation) section has been updated and consolidated, and a new series covering LEOFF 1 claims has been added. GS50-01-11 (covering contracts and agreements) has been updated to include legal agreements of all kinds, such as liability waivers, hold harmless agreements, insurance waivers, etc. Two new series covering agency strategic plans have been added. A new series covering Superior Court source records (which have been reproduced) has been added. An obsolete records series relating to public disclosure requests has been discontinued.
2.2	December 15, 2011	Critical updates based on user feedback/input. 36 pages removed. 77 records series discontinued, 34 revised, and 28 added. 31 existing series relating to financial transactions have been consolidated into 2 new series: Financial Transactions – General , and Financial Transactions – Bond, Grant and Levy Projects . 19 existing series relating to meetings and hearings have been consolidated into 2 existing and 4 new series. Added "Designations" column; removed "Item No.", "Secondary Record Copy", and "Remarks" columns. (Some remarks have been added to description as "Notes".) All records series relating to purchasing have been moved to Financial Management/ Purchasing. The Contracts and Agreements section has been updated/enhanced, and a new Training section has been added to cover agency-provided training. (These and many more changes are detailed in the Revision Guide.)
3.0	November 29, 2012	Complete revision of the Asset Management function. 34 new series; 7 series transferred in from LGRRS Version 5.2; 87 series revised; and 78 series discontinued. Multiple activities restructured and several new activities added including: Elections (Elected Officials, Initiatives and Referenda); Emergency Planning, Response and Recovery; and, Local Government Legislation. (All changes are detailed in the Revision Guide.)
3.1	December 18, 2014	Added new series (GS2014-030) to urgently address the payment card Sensitive Authentication Data issue. Three additional series added (GS2014-029, GS2014-031, and GS2014-032); one discontinued (GS2010-085); and 11 revised/updated. Also, corrections made to 11 DAN <i>revision numbers</i> (e.g., "Rev. 0") (All changes are detailed in the Summary of Changes.)
3.2	August 20, 2015	One records series modified. GS2014-030 renamed Financial Transactions – Sensitive Cardholder Data and description modified to <u>include primary account/credit card number (PAN) as well as all Sensitive Authentication Data (SAD)</u> . Exclusions on p.90 & 91 updated. (No Summary of Changes.)

LOCAL RECORDS COMMITTEE DRAFT



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2011-183 Rev. 2	<p><i>Financial Transactions – Bond, Grant and Levy Projects</i> Records documenting all resources received and expended by the agency for bond-, levy-, and/or grant-funded projects. Also includes authorized debt financing.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Cancelled (and voided) checks, credit card slips, project cost record, etc., <i>for capital assets constructed by the local government agency;</i> • Contracts and agreements (for non-capital assets only); includes negotiations, compliance monitoring, etc.; • Documents supporting purchase/acquisition/construction and disposition/sales prices; • Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer reports, etc.); • Grant/scholarship announcements, applications, evaluation summaries, award notifications, etc., for funds <u>awarded or received</u> by the local government agency; • Project cost/expenditure tracking record (staff time, etc.); • Registers and journals for all funds and functions (including numerical listing of checks/warrants/vouchers, etc.); • Revenue bonds and coupons, registers, etc.; • Trust indenture, loan agreement, etc. <p>Excludes:</p> <ul style="list-style-type: none"> • Sensitive Cardholder Data covered by GS2014-030; • Contracts and agreements involving <u>the agency's</u> capital assets which are covered by GS55-05A-06 and GS2011-169; • General and subsidiary ledgers covered by GS50-03A-15; • Unsuccessful grant/scholarship applications covered by GS50-03C-07. 	<p>Retain for 6 years after final bond payment <i>or</i> 6 years after completion of levy/grant project <i>or</i> terms of grant agreement, <i>whichever is later then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

LOCAL RECORDS COMMITTEE DRAFT



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2011-184 Rev. 2	<p>Financial Transactions – General Records documenting all resources received and expended by the agency provided that receipts and expenditures are not for bond, grant or levy projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Purchase and sales (purchase/field orders, bills of sale, receipts, cash books, remittance advices, vouchers, fiscal purchasing/receiving documents, etc.); • Billing statements; billing summaries (registers/ledgers); adjustments to accounts (error corrections, overpayment refunds, conservation rebates, etc.); delinquent accounts lists; • Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer, etc.); • Registers and journals (general and subsidiary) for all funds and functions; • Check/warrant registers; • Petty cash. <p>Excludes:</p> <ul style="list-style-type: none"> • Sensitive Cardholder Data covered by GS2014-030; • Levy-, grant-, and bond-funded transactions covered by GS2011-183; • Utility meter readings covered in the <i>Utility Services Records Retention Schedule</i>; • General and subsidiary ledgers covered by GS50-03A-15; • Contracts and agreements; • Annual financial reports covered by GS50-03D-02. 	<p>Retain for 6 years after end of fiscal year then Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

LOCAL RECORDS COMMITTEE DRAFT



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2014-030 Rev. 1	<p>Financial Transactions – Sensitive Cardholder Data Elements</p> <p>Specific Sensitive Cardholder Data elements obtained during electronic financial transactions where the agency stores, processes or transmits cardholder data received via point of sale systems, phone, email, internet, paper, etc.</p> <p>Sensitive Cardholder Data Elements include:</p> <ul style="list-style-type: none"> • Primary Account Number (PAN) <u>and</u> credit card number, <i>if different</i>; • Sensitive Authentication Data (SAD) <i>as defined by the Payment Card Industry Data Security Standard (PCI DSS)</i>. Includes full track data, PIN/PIN blocks, and 3- or 4-digit customer identification (CID) number printed on the front or back of payment card such as Card Identification Number (CIN), Card Verification Value (CVV), Card Validation Code (CVC). <p>Excludes data elements <i>other than</i> PAN and SAD that are <u>received by</u> the agency which must be retained pursuant to GS2012-083, GS2012-084, or other applicable DAN.</p> <p>Note: For additional information, please see Washington State Archives' Records Management Advice, Sensitive Cardholder Data Obtained During Payment Card Transactions.</p>	<p>Retain until completion of transaction <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

Destruction of Non-Archival Records: Sensitive Cardholder Data Obtained During Payment Card Transactions

Purpose: Provide guidance to local government agencies on lawful destruction of sensitive payment card/holder data to minimize public and agency risk.

Any local government agency that **processes, stores, or transmits payment card data** is required by the card provider (Visa, MasterCard, American Express, etc.) to comply with certain security standards to prevent cardholder data theft. In 2006, the [Payment Card Industry \(PCI\) Security Standards Council](#) established its [Data Security Standard](#) (PCI DSS), and in 2010 the Revised Code of Washington incorporated the standard into [chapter 19.255 RCW](#), *Personal Information – Notice of Security Breaches*.

Part of the security standard stipulates that certain **Sensitive Authentication Data** is *forbidden* to be stored once the payment card transaction has been completed. This includes data that is used to authenticate electronic transactions where the card is not physically present, such as the Card Verification Value (CVV) or Card Validation Code (CVC) found on the front or back of the card and/or encoded in its magnetic stripe.

The State Auditor's Office has clarified what must be maintained for audit purposes by local governments when **receiving** credit card payments. Local governments should only maintain the **transaction number** assigned by the credit card company or the third party credit card processing vendor, **not the entire primary account/credit card number**. Local governments are encouraged to comply with PCI DSS standards, including the requirements to render any stored primary account number or credit card number unreadable.

In an effort to mitigate financial risk to customers and the public agencies that serve them, the Local Records Committee (LRC) has approved specific disposition authority for Sensitive Authentication Data AND primary account/credit card numbers (collectively referred to as "Sensitive Cardholder Data") by approving DAN GS2014-030, **Financial Transactions - Sensitive Cardholder Data**, which is located in the Financial Management section of the *Local Government Common Records Retention Schedule (CORE)*. The State Auditor's Office has confirmed that it does not require this Sensitive Cardholder Data to be retained for audit purposes.

Please note that only **Sensitive Authentication Data** as defined in current PCI DSS standards **and** the **primary account/credit card number** may be destroyed under GS2014-030. All other elements of the record that are **made or received** by the agency need separate disposition authority because they are required for audit purposes and must be retained in accordance with the appropriate **Financial Transactions** series.

PLEASE NOTE: This is no way requires that the agency create a record (or portion of a record) that it otherwise does not make or receive.

**Additional advice regarding the management of public records is available from
Washington State Archives:**

Destruction of Non-Archival Records: Sensitive Cardholder Data Obtained During Payment Card Transactions

Common Methods of Destroying Sensitive Cardholder Data:

Under [WAC 434-640-020](#), destruction of confidential records must reduce them to an illegible or otherwise irretrievable condition.

For **existing database records**, Sensitive Cardholder Data (Sensitive Authentication Data **and** the primary account number/credit card number) should be deleted. This deletion should also be applied to any backups of these records.

Existing paper records at the agency should have any Sensitive Cardholder Data removed in some permanent fashion, such as physically cutting out the sensitive portion or covering it and then photocopying or scanning the record. Similarly, **records that have already been scanned to digital format** in accordance with the “scan and toss” requirements should have this data redacted from both the image and any metadata.

Existing emails containing Sensitive Cardholder Data should be redacted and resaved in electronic format, retaining as much of the original metadata as possible.

Point forward, both paper-based and electronic records should be created in a manner that ensures that all Sensitive Cardholder Data is retained separately or can be easily separated from the rest of the transaction record (e.g., as a separate data field, on a Post-It note attached to the transaction record, etc.) This approach should be documented in official agency procedures.

**Additional advice regarding the management of public records is available from
Washington State Archives:**