This schedule applies to: Department of Social and Health Services

Scope of records retention schedule
This records retention schedule authorizes the destruction/transfer of the public records of the Department of Social and Health Services relating to providing social services and resources to improve the health of individuals, families, and communities in the State of Washington. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule* (*SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

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

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

Revocation of previously issued records retention schedules
All previously issued records retention schedules to the Department of Social and Health Services are revoked. The Department of Social and Health Services must 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 State Records Committee in accordance with RCW 40.14.050 on September 2, 2015.

Signature on File	*Signature on File*	-	*Signature on File*
For the State Auditor: **Cindy Evans**	**For the Attorney General:** **Isaac Williamson**	**For the Office of Financial Management:** **Shane Hamlin**	**The State Archivist:** **Steve Excell**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	June 6, 2012	Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the Department of Social and Health Services.
1.1	September 5, 2012	Minor changes to Background Check Central Unit, Behavioral Health and Recovery, Children's Administration, DSHS Institutions, and Operations Review and Consultation sections.
1.2	September 18, 2013	Minor changes to administration and office names, movement of sections within chapters.
1.3	December 4, 2013	Add confidentiality statement to description; discontinue three record series.
1.4	June 4, 2014	Minor typographical changes; substantial changes to two Children's Administration series.
1.5	March 12, 2015	Title and description changes; changes to cut-off on BCCU series.
1.6	September 2, 2015	Minor changes to the Residential Care Services, Juvenile Rehabilitation and Legacy sections.

For assistance and advice in applying this records retention schedule,

please contact the Department of Social and Health Services' Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. AGENCY-WIDE

This section covers records for agency-wide use relating to services provided by the Department of Social and Health Services.

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-05-31847 Rev. 4	***Base Updates*** Provides documentation used to determine staff time spent on federal and state programs. Basis of claiming reimbursement from federal government for costs under the cost allocation plan. This includes such things as: • Targeted Case Management (TCM) backup documents with recipient names, dates of service, places of service, Division of Child and Family Services (DCFS) providers, and the nature of service in order to claim Title XIX funding under (TCM) for DCFS staff. • Random Moment Time samples documents that Identifies activities claimable to federal funding sources. Result of the random moment time sampling of social service workers. • Used to report Title IV-E allowable charges. • Documents verification of client eligibility for IV E federal funding which provides for maintenance and administration for foster care and adoption support cases. • Documentation of the receipt of federal funds for DCFS program activities. Includes grant applications, budget, contracts, correspondence, audits and final project reports. • Group care annual time study. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-10-62332 Rev. 0	***Emergency Management After Action Report and Documentation*** Post disaster recovery and debriefing documentation. Includes, but is not limited to: • Plans and procedures, incident plans, purchase requests and final reports; • Military Department and agency correspondence.	**Retain** for 7 years after completion of action report *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
10-10-62331 Rev. 1	***Employee/Volunteer Personal Incident Report Forms*** Provides documentation of staff/volunteer accidents which do not result in a claim. Includes, but is not limited to: • Employee/Volunteer Personal Incident Report (DSHS 03-133). *Note: Claims will be filed under GS 03015, GS 03016, or GS 03039 as necessary.* *Note: Series contains confidential information.*	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-08-25431 Rev. 7	***Fair Hearing Case Files (Judicial Appeal)*** Provides documentation to support fair hearing rulings appealed to Superior Court. *Note: Files are arranged alphabetically.* *Note: Series contains confidential information.*	**Retain** for 10 years after appeal date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-10-07101 Rev. 8	***Fair Hearing Case Files (No Judicial Appeal)*** Documents disposition of fair hearings in accordance with RCW 34.12. Includes, but is not limited to: • Appellant's name, complaint, findings of facts in the case; • Final administrative decision and exhibits. *Note: Series contains confidential information.*	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-11-60608 Rev. 2	***HIPAA Privacy Documentation*** Any communications, actions, activities, assessments, or designations required by the Health Insurance Portability and Accountability Act (HIPAA) Administrative Regulations (45 CFR 160 – 164) to be in writing or documented including: • Exercise of client rights relating to protected health information , including requests for amendment, accounting of disclosures, restrictions on use and disclosure, confidential communications; • Forms adopted for compliance with rule, including Notice of Privacy Practices and Acknowledgments; • Completed forms, including consents and authorizations; • Procedures and policies; • Designated record sets; • Privacy complaints and dispositions, including transactions referred by HHS Office for Civil Rights; • Training materials and documentation; • Breaches of unsecured protected health information, including notifications. *Note: Access to client records is covered by the State General Schedule 5.4 Public Disclosure.* *Note: Series contains confidential information.*	**Retain** for 6 years after date of creation, final response, or date last in effect, whichever is later *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-12-34817 Rev. 2	***Occupational Safety and Health Administration (OSHA) Files*** Provides documentation of required OSHA Forms for time and loss for injuries/illnesses for employees at Department of Social and Health Services facilities. Includes, but is not limited to: • OSHA 300, 300A, and 301 Forms	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-12-51531 Rev. 1	***Post-Mortem Review Committee Files*** Established by DSHS Administrative Policy 9.03 to review deaths of residential clients. Includes reports to the Secretary and recommendations for corrective action. *Note: Used by all DSHS institutions.* *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
06-06-61215 Rev. 1	***Victim/Witness Notification Files*** These records include victim and witness notification letters, notifications from DSHS facilities and correspondence from victims and witnesses. *Note: These files may also contain offender case information such as commitment, diagnostic, treatment records, and school information. The victim/witness file may follow the offender throughout their commitment to DSHS facilities.* *Note: Series contains confidential information.*	**Retain** for 75 years after last discharge of offender *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-10-58167 Rev. 0	***Voter Registration*** Provides a record of the offer of voter registration assistance to clients and other visitors to the office.	**Retain** for 2 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62157 Rev. 2	***Background Check Authorization Forms and Results for Employed Individuals (Originating DSHS Office)*** Signed and completed Background Check Authorization Forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or the Background Check Central Unit (BCCU) and the background check result letters. These records for those hired must be stored together in a secure location separate from personnel files and other less confidential documents. Documents may include the person's: • Name and alias names; • Date of birth; • Driver's license number; • Social security number; • Confidential criminal background information - may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people. *Note: Used by office originating background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after termination date *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62156 Rev. 1	***Background Check Authorization Forms and Results for Individuals Not Employed (Originating DSHS Office)*** Signed and completed Background Check Authorization forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Central Unit, and the BCCU result letters for individuals who had a background check completed but were NOT hired, must be stored together in a secure location. Documents may include the person's: • Name and alias names; • Date of birth; • Driver's license number; • Social security number; • Confidential criminal background information - may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people. *Note: Used by office originating background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after decision date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62158 Rev. 2	***Background Check Authorization Forms and Results for Initial and Renewal of License, Contract, Certification, and Authorization of Unsupervised Access for Service Providers (Originating DSHS Office)*** Signed and completed Background Check Authorization Forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Central Unit (BCCU) and the BCCU result letters for applicants and potential and current service providers who completed an FBI background check for any purpose must be stored together in a secure location. Documents may include the person's: • Name; • Date of birth; • Alias names; • Driver's license number; • Social security number; • Confidential non-public FBI background information. *Note: Used by office originating background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after termination of license, contract, certification, or authorization *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62163 Rev. 2	***BCCU Background Check Person of Interest (POI) Files*** A person of interest (POI) file includes anything BCCU receives in the process of conducting a background check. Files may include, but are not limited to, confidential information and may contain any combination of the following: • Signed and completed Background Check Authorization form; • Authorizations submitted through Web; • Federal Bureau of Investigations (FBI) Record of Arrest and Prosecution (RAP) sheets (non-public information); • Washington State Patrol (WSP) RAP sheets; • Supplemental information or disclosures provided by the applicant; • Other supporting information necessary to process a background check. Other supporting information may include: DSHS finding notification; information from the Department of Corrections, Department of Health, and/or Office of Administrator of the Courts; out of state and federal court records; BCCU result letters, correspondence and records requests; and AAG equivalency analysis. Documents contain personal identifying information including applicants name, date of birth, aliases, driver's license number, and social security number. Confidential document destruction is required by the FBI. *Note: Used specifically by Office 106 Background Check Central Unit (BCCU).* *Note: Series contains confidential information.*	**Retain** for 20 years after last check completed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-12-61664 Rev. 4	***BCCU Rejected Incomplete Background Check Authorization Forms*** Forms submitted by fax or mail missing critical information, are illegible, or have incorrect account numbers, which are rejected as incomplete. These documents are not usable after rejection decision is made and must be destroyed and replaced by the applicant. These documents may contain • Name and alias names; • Date of birth; • Driver's license number; • Social security number; • Confidential background information disclosed by the applicant. *Note: Used specifically by Office 106 Background Check Central Unit (BCCU). Once application is rejected, applicant must submit a new application and a new query is performed. Applications that are accepted are covered under DAN 10-04-62157, DAN 10-04-62156, or DAN 10-04-62158, DAN 10-04-62163 and /or DAN 10-04-62159 as appropriate.* *Note: Series contains confidential information.*	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62160 Rev. 3	***Closed Case National Crime Information Center (NCIC III) Background Checks (for Individuals Contracted, Hired, Licensed, Certified, or Authorized) (Originating DSHS Office)*** "Closed Case" means a case that is complete after hire, contract, license, certification or authorization of an individual and NCIC III information was accessed and reviewed. Includes, but is not limited to: • Non-public criminal history; • Arrests and charges; • Convictions from other states and WA State. *Note: This series applies only to the data compiled from National Crime Information Center (NCIC III) database for background checks for any purpose (except Children's Administration). This record series applies ONLY for individuals who are contracted, hired, licensed, certified, or authorized, and the NCIC III data used is removed in accordance to the protocols of the Washington State Patrol. Completed applications and other background check data from the FBI are covered under DAN 10-04-62157, DAN 10-04-62156, or DAN 10-04-62158, DAN 10-04-62163 and /or DAN 10-04-62159 as appropriate.* *Note: Series contains confidential information.*	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62159 Rev. 2	***Federal Bureau of Investigation (FBI) Result Received for any Purpose (Originating DSHS Office)*** Federal Bureau of Investigation (FBI) Records of Arrest and Prosecution (RAP) sheets and supplemental information about FBI data provided by the applicant, FBI, or BCCU, and BCCU result letters containing FBI information must not be shared or disseminated for any reason outside of DSHS. Includes, but is not limited to: • Non-public criminal history, fingerprint cards; • Arrests and charges; • Convictions from other states and WA State. *Note: Used by office originating background check. FBI records must be stored in a secure location and may NOT be stored off site, in a desk file, or in a personnel file. Confidential document destruction is required by the FBI. Shredding of FBI information is done on site or with DSHS staff officially witnessing shredding off site.* *Note: Series contains confidential information.*	**Retain** for 6 years after receipt of FBI information *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62162 Rev. 3	***National Crime Information Center (NCIC III) Background Checks Received for Child Protective Services (CPS) and Related Investigations and Emergency Placement for Unlicensed Relatives or Other Persons (Originating DSHS Office)*** Documents include NCIC III results received from Children's Administration (CA) and all field offices conducting CPS (purpose code C) and related investigations and emergent placements (purpose code X) for unlicensed relatives or other persons. NCIC III results received for both purposes must not be shared, copied or disseminated beyond CA including the following: • NCIC III data and supplemental information about NCIC III data provided under purpose codes C and X; criminal history result forms; • Completed criminal history summary forms in the assigning office folder located in the CA shared drive; • Notations of department action that includes NCIC III data; • Results of a character, competence and suitability assessment that includes NCIC data. *Note: Used by office originating background check*. *Note: Series contains confidential information.*	**Retain** for 30 days after receipt of National Crime Information Center (NCIC III) information *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62161 Rev. 3	***Open Case National Crime Information Center (NCIC III) Background Checks (for Individuals Not Contracted, Hired, Licensed, Certified, or Authorized) (Originating DSHS Office)*** "Open Case" means a case that remains open to dispute for one year after denial of hire, contract, license, certification or authorization and NCIC III information was accessed and reviewed. Includes, but is not limited to: • Non-public criminal history; • Arrests and charges; • Convictions from other states and WA State. *Note: This series is applicable to all agency headquarters and field staff licensing, contracting, certifying and authorizing service providers and those hiring/appointing authorities conducting NCIC III checks for individuals NOT contracted, hired, licensed, certified, or authorized by the agency.* *Note: Confidential document destruction is required by the FBI. Shredding of NCIC III information is carried out on site or with DSHS staff officially witness shredding off site.* *Note: Series contains confidential information.*	**Retain** for 1 year after receipt of National Crime Information Center (NCIC III) information *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OFM

1.3 OFFICE OF FRAUD AND ACCOUNTABILITY – Office 126

This section covers records relating to Fraud Early Detection investigations, criminal investigations, vendor investigations, EBT fraud, public assistance fraud, and childcare investigations conducted by the Office of Fraud and Accountability.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
75-08-13752 Rev. 2	***Investigative Case Files*** Provides documentation of investigations of possible fraud, allegations of employee criminal activity, and illegal practices by vendors. *Note: Series contains confidential information.*	**Retain** for 6 years after last action taken *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
04-09-60779 Rev. 1	***WSP Identification Section Information Transmittal*** Transmits criminal history information from the Washington State Patrol. *Note: There are strict statutory restrictions on dissemination of this material. Per 15 U.S.C. 1681 et seq* *Note: Series contains confidential information.*	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.4 HUMAN RESOURCES – Office 140

This section covers records relating to personnel information managed by DSHS Human Resources.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00-09-59884 Rev. 2	***Washington State Patrol (WSP) Investigations, Disciplinary Action Taken*** Records that document employee investigations for alleged criminal misconduct deemed a gross misdemeanor or felony or major administrative investigation conducted by the Washington State Patrol (WSP) or local law enforcement agencies where disciplinary action is taken. *Note: This is pursuant to the Governor's Executive Order 96-01 and the WSP/DSHS Interagency Agreement.* *Note: Series contains confidential information.*	**Retain** for 6 years after final report received *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
06-10-61321 Rev. 1	***Washington State Patrol (WSP) Investigations, No Disciplinary Action Taken*** Records that document employee investigations for alleged criminal misconduct deemed a gross misdemeanor or felony or major administrative investigation conducted by the Washington State Patrol (WSP) or local law enforcement agencies where disciplinary action is not taken. *Note: This is pursuant to the Governor's Executive Order 96-01 and the WSP/DSHS Interagency Agreement.* *Note: Series contains confidential information.*	**Retain** for 5 years after final report received *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.5 LANGUAGE TESTING AND CERTIFICATION – Office 201

This section covers records relating to Language Testing and Certification.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-06-60715 Rev. 1	***Language Testing and Certification Records*** Series includes interpreter and translator certification and screening test answers and payment tracking; linked databases are: • Emergency Provision Tracking; • Employee Testing; • Medical Screenings; • Medical Testing; • Negotiable Mail Check Log; • Social Services Screening; • Social Services Testing; • Translator Testing. *Note: Information is maintained electronically on FileMaker Pro databases. Paper documentation may be included in this series as necessary.*	**Retain** for 6 years after administrative purpose served *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
99-06-59126 Rev. 2	***Language Testing and Certification Oral Test Recordings*** Candidates are interpreting text and conversations on these tapes. The tapes are maintained for candidates' challenges to this test. Per WAC 388-03-154, candidates have two months to challenge test scores. Retention is to cover potential process challenges.	**Retain** for 3 years after test graded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.6 RULES AND POLICY ASSISTANCE UNIT – Office 351

This section covers records relating specifically to the Rules and Policy Assistance Unit.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-08-23063 Rev. 5	***Rule Making Files*** Documents agency rule making (WAC) as described in RCW 34.05.370 (Administrative Procedures Act). Includes, but is not limited to: • Text of proposed rule with documentation of agency internal review and comment; • Mailroom distribution record; • Public rule hearing sign-in sheets (showing names and addresses of persons attending or making testimony); • Summary of public rule hearing; written comments received relating to the proposed rule with DSHS response; • Original Rule Making Order showing adoption date and record of filing with the Code Reviser (assignment of WAC Register number). *Note: Files are arranged numerically by the WAC Administrative Order number also known as the Rule Making Docket number.*	**Retain** for 75 years after date filed with code reviser or date withdrawn *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OPR

1.7 SOCIAL SERVICES PAYMENT SYSTEM – Office 782

This section covers records relating to the Social Services Payment System (SSPS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05-08-60945 Rev. 1	***Provider and Payee Deduction*** Records documenting pay deductions for client services providers and payees. Includes provider union dues and health care premiums information sent to the DSHS Office of Accounting Services to document amounts collected on the behalf of: • Service Employee International Union (SEIU); • Health Care Authority (HCA), L&I; • Political Action Committee (PAC), and Old Age and Survivors Insurance (OASI). *Note: Source documents may be destroyed after imaged and verified per Electronic Imaging System (EIS) approval by the Washington State Archives per GS11012.*	**Retain** for 7 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
07-04-61457 Rev. 2	***Social Services Payment System (SSPS) Provider Files*** Records documenting information on payments and authorization history. Includes, but is not limited to: • File reports, administrative reports, provider and payee invoices; • Provider and client reports, taxes, service codes; • Account codes, and SSPS management reports. *Note: Series contains confidential information.*	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
12-06-68252 Rev. 1	***Social Services Payment System (SSPS) Management Reports*** Records which provide summary documentation of services provided to clients for management information. Includes, but is not limited to over 100 different management reports that are generated at the regional and state levels. *Note: Replaces DAN 84-MF-33861.*	**Retain** for 75 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.7 SOCIAL SERVICES PAYMENT SYSTEM – Office 782

This section covers records relating to the Social Services Payment System (SSPS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-10-62134 Rev. 1	***Status 4 Documentation*** Documentation sent to Social Services Payment System (SSPS) by case workers indicating a provider is Status 4 and should not be used as a DSHS provider. A Status 4 flag in the SSPS provider database indicates a serious reported concern about the ability, background, or character of a provider. *Note: Source documents may be destroyed after imaged and verified per Electronic Imaging System (EIS) approval by the Washington State Archives per GS11012.* *Note: Series contains confidential information.*	**Retain** for 7 years after completion of investigation and Status 4 removal *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2. AGING AND DISABILITY SERVICES

This section covers records relating to aging and developmental disability services provided by the Department.

2.1 BEHAVIORAL HEALTH AND SERVICE INTEGRATION ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health and Service Integration Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-04-27408 Rev. 3	***Alcohol and Drug Program Certification Files*** Provides documentation for the certification of chemical dependency treatment programs under WAC 388-805 by the division.	**Retain** for 6 years after end of month *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OPR
00-09-59908 Rev. 3	***Background Checks on Applicants for Concealed Weapons Permits and Firearms Dealer's Licenses*** Records on Mental Health background checks on anyone applying for a Concealed Weapons Permit or Firearms Dealer's License as required by RCW 9.41.040 and RCW 71.05. Copies of request and checks are provided and maintained by DSHS. *Note: Series contains confidential information.*	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
75-04-10480 Rev. 4	***Closed Patient Chemical Dependency Treatment Record*** Records documenting patient chemical dependency treatment from a closed Division of Behavioral Health and Recovery (DBHR) certified treatment agency. *Note: The Department of Social and Health Services (DSHS) is responsible for the records once DSHS has taken possession under 42 CFR Part 2 and HIPAA.* *Note: Series contains confidential information.*	**Retain** for 7 years after certification cancel date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.1 BEHAVIORAL HEALTH AND SERVICE INTEGRATION ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health and Service Integration Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61063 Rev. 2	***Compliance Files*** Records documenting compliance with various state and federal laws. These files support federal audits as well as any litigation. Includes, but is not limited to: • Incidents and complaints, corrective action plans; • Prior and current law suits, service provider processes; • Audits and audit findings, and denied claims. *Note: Series contains confidential information.*	**Retain** for 7 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-11-62153 Rev. 0	***Continuing Education Units (CEU) Training Documentation*** Records documenting the behavioral training conducted by DSHS employees and/or private sector trainers provided to participants to gain Continuing Education Units (CEU) in order to acquire or maintain a professional license or certification to provide counseling. These records are retained to document that an attending CEU participant earned their license or certification. *Note: If training is conducted through a college, the college is required to maintain the completion or certification files.*	**Retain** for 10 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
81-12-29375 Rev. 1	***County Mental Health Plan Files*** Provides documentation of county mental health programs. Contains plans, contracts and reference materials.	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.1 BEHAVIORAL HEALTH AND SERVICE INTEGRATION ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health and Service Integration Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-12-29376 Rev. 3	***Mental Health Program and Facility Review Files*** Provides documentation of program reviews and site visits.	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-10-51388 Rev. 4	***Nursing Facility Resident Mental Health Assessments*** Records documenting resident mental health assessments. Review required by federal Omnibus Reconciliation Act of 1987 (OBRA PASSAR Assessment). Includes, but is not limited to: • Level II psychiatric evaluations; • Level II follow-up or significant change evaluation summary information; • Level II invalidation statements, including interrupted evaluation documentation; • Copies of supporting documentation from the medical record. *Note: This series is used also by Office 710 Division of Developmental Disabilities.* *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.1 BEHAVIORAL HEALTH AND SERVICE INTEGRATION ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health and Service Integration Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-04-61456 Rev. 3	***Offender Reentry Community Safety (ORCS) Program Files*** Records documenting case management and programs for services for Offender Reentry Community Safety (ORCS) Program clients. Includes, but is not limited to: • Agreements with local mental health centers and regional support networks; • Unfunded medical expenses and chemical dependency treatment; • Housing and employment services. *Note: RCW 71-24.470 governs this statewide program providing mental health case management services to individuals who have been identified as dangerous to themselves or others including individuals who are developmentally disabled and/or may not be able to care for themselves without protective or well-coordinated community care.* *Note: Series contains confidential information.*	**Retain** for 8 years after one year (12 months) of no services provided *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-08-25417 Rev. 2	***Developmental Disabilities (DD) Alternate Living Files (AL)*** Records documenting instructional services for DD clients living in their own homes. DD contracts with independent contractors to offer these services. Clients may receive up to 40 AL hours per month. Includes but is not limited to: • Agreements, service plans; • Money management and essential shopping; • Accessing community resources. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
77-10-20105 Rev. 3	***Developmental Disabilities Client Case Files (Death)*** Records documenting clients placed in case services that have died. Includes, but is not limited to: • Legal documents; • Intake records; • Transitory records. *Note: May also include abbreviated records for clients in Residential Habilitation Centers.* *Note: Series contains confidential information.*	**Retain** for 10 years after death *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-08-61584 Rev. 1	***Developmental Disabilities Client Case Files (Discharged)*** Records documenting clients placed in case services that have been discharged from services. Includes, but is not limited to: • Legal documents; • Intake records; • Transitory records. *Note: May also include abbreviated records for clients in Residential Habilitation Centers.* *Note: Series contains confidential information.*	**Retain** for 50 years after date of discharge from services *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
82-09-30300 Rev. 2	***Developmental Disabilities (DD) Client Case Files (Ineligible or Withdrawn)*** Provides documentation of client status for division services when client is ineligible or application is withdrawn. *Note: Series contains confidential information.*	**Retain** for 6 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
08-02-61732 Rev. 1	***Developmental Disabilities (DD) Community Protection Issues Incident Reports*** Provides documentation related to incidents resulting in a Developmental Disabilities client arrested for, charged with, or convicted of a crime of sexual violence as defined in chapter 9A.44 or 71.09 RCW, or violent or serious violent offenses as defined by RCW 9.94A.030; or which prompted a risk assessment by a qualified professional that concluded the individual constituted a risk to others. *Note: Series contains confidential information.*	**Retain** for 75 years after date of document *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-08-61585 Rev. 1	***Developmental Disabilities (DD) Companion Home Client Files*** Records of residential service clients living in a regular family residence approved by the Division of Developmental Disabilities (DDD). DDD reimburses the provider for support services to include instruction and supervision. The client pays the provider directly for room and board costs from his/her personal resources. Includes, but is not limited to: • Quarterly reports; • Comprehensive assessment evaluation; • Financial documents. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
89-04-44245 Rev. 2	***Developmental Disabilities (DD) County Payments*** Provides records used to track client services delivered and outcomes in county DD programs. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
92-05-50377 Rev. 2	***Developmental Disabilities (DD) Service Provider Application (Incomplete)*** Applications from potential providers of services to DDD clients which are not completed and no Basic Ordering Agreement is issued. *Note: Series contains confidential information.*	**Retain** for 6 months after date of incomplete application *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-08-25423 Rev. 2	***Family Support/Respite Files*** Provides a record of Division of Developmental Disabilities (DDD) clients receiving family support. Includes, but is not limited to: • Plans, approvals, and questionnaires (Individual Services Plans); • Agreements, planning worksheets, community guide referrals and reports; • Service need assessments, determinations, and worksheets; • Serious needs requests and exception to policy and approvals. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
03-06-60521 Rev. 1	***Medicaid Home and Community-Based Services Waiver (Title XIX)*** Provides records of Medicaid home and community-based services waiver proposals and amendments. Includes, but is not limited to: • Reports (aggregate data) of utilization and expenditures for waiver recipients; • Federal correspondence and reports concerning the Division's home and community-based services waivers; • Copies of information (some client-specific) provided in response to public disclosure requests concerning the waivers; • Copies of lawsuits (and related materials) concerning the division's home and community-based waiver program. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-06-60522 Rev. 1	***Medicaid Services/Claim Documentation (Title XIX)*** Includes documentation of client-specific service delivery which backs up the claim for Medicaid funding as well as discussion/issue papers and related material concerning Medicaid services for individuals with developmental disabilities. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-08-25422 Rev. 2	***Voluntary Placement Program (VPP) Files*** Maintains a record of out of home placement for children under 21-years of age placed by the Division of Developmental Disabilities. Includes, but is not limited to: • Plans of care and assessments; • Agreements, guardianship papers, and court forms. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

2.3 HOME AND COMMUNITY SERVICES – Office 915

This section covers records relating to Office 915 Home and Community Services of the Aging and Disability Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-11-62143 Rev. 1	***Adult Protective Services Investigation Files – Substantiated*** Adult Protective Services (APS) documents and related materials that involve substantiated findings that are appealed (administrative hearings and/or superior court). *Note: Series contains confidential information.*	**Retain** for 10 years after last activity *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
85-06-35832 Rev. 4	***Adult Protective Services Investigation Files – Unsubstantiated/Inconclusive/Substantiated (Not Appealed)*** Adult Protective Services (APS) documents and related materials that involve unsubstantiated, inconclusive, and substantiated (**not appealed**) findings**.** *Note: Series contains confidential information.*	**Retain** for 6 years after last activity *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
07-06-61525 Rev. 1	***Registered Nurse Delegators (RND) Case Files*** Registered Nurse Delegators (RND) documentation to support billing, consent, credentials and training. Includes, but is not limited to: • Instruction task sheets, nursing visits, assessments; • Medication profiles, "give as needed" instructions, treatment and medication changes, rescinding/assumption instructions and forms; • Case Managers referral and collateral contacts (i.e., Primary Care Physician, family, or Case Manager). *Note: Series contains confidential information.*	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61065 Rev. 0	***Case Mix Accuracy Review*** Records documenting the review of Minimum Data Set accuracy as it relates to Medicaid case mix payment. "Case mix" is the different types of service needs each person (or case) requires and services are determined by the level of need scored in each case. Includes, but is not limited to: • Letters and preliminary review summaries; • Resident reports Activities of Daily Living index score sheets; • Resource Utilization Group Worksheets; • Quality assurance activities and quality assurance protocols; • Quality Assurance Nurse (QAN) files and monitoring visits by QAN; • Case Mix accuracy Review Data.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60678 Rev. 1	***Nurse Aid Training Program Files*** Records documenting Nurse Aid training. Includes, but is not limited to: • Bi-Annual approval renewal; • Proof of like type education for individuals trained in other states; • Certification of completion of equivalency type training programs and transcripts; • Sanction files; • Original program approval package; • Program director and instructors application; • Curriculum outline; • Description of evaluation methods.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60665 Rev. 3	***Residential Care Services Complaint Files*** Provides records of complaints with citations related to residential care services (Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF) and Residential Habilitation Center (RHC). Includes, but is not limited to: • Complaint closure face sheets and complaint investigation summary reports; • Statements of deficiency, plans of correction; • Complaint intake and routing forms, and resident/staff identification lists. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60683 Rev. 3	***Residential Care Services Enforcement Files*** Provides records of residential care services (Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF) and Residential Habilitation Center (RHC) enforcement files. Includes, but is not limited to: • Letters of enforcement and statement of deficiencies; • Enforcement working papers and hearing documents; • Skilled Nursing Facility enforcement action log.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50690 Rev. 4	***Residential Care Services Facility Licensing and Business Files (Closed)*** Contains licensing and business files for residential care facilities. Includes, but is not limited to: • Contract application, current contract exemptions to contact WACs; • Contract monitoring visits, provider request form, licensing applications; • Initial renewal, exemption to licensing WACs; • Facility Inspection reports (initials, follow-ups, annual re-inspections, with statement of deficiency/plan of correction as needed; • Complaint investigation reports (narrative, inspection reports, SOD/PIC as needed, HCFA 2567; • Reports and POC's from fire marshal's office and certificate of occupancy; • Local authority reports, OFR reports, all correspondence, overview memos; • Fine recommendation work sheets, negative action letters; • Hearing requests, hearing decisions, directions to the facility, provider business cards, licensor's notes, licensed room list, assisted living approved room lists; • Temporary manager and receiver files, completed applications, correspondence, financial information and background forms (all originals) from applicants seeking positions of temporary manager or court-appointed receiver of a Skilled Nursing Facility. *Note: Series contains confidential information.*	**Retain** for 10 years after facility closure *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50692 Rev. 4	***Residential Care Services Facility Licensing Application (Denied)*** Contains all documentation related to the denial of licensure for applicants of a residential care service facility. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
04-05-60677 Rev. 3	***Residential Care Services Survey / Recertification File*** Documentation pertaining to compliance of Federal guidelines for facility recertification. Includes, but is not limited to: • Form HCFA-1539, Form HCFA-3070 G, Form HCFA 1513; • Copy of Assisted Living Facilities (ALF) or Skilled Nursing Facility (SNF) license, DSHS 10-085; • Assisted Living Facility (ALF) License Renewal, and Correspondence; • Blue Sheets with attachments for bed banking and bed increases; • Facility administration changes and Certified bed changes; • Background material regarding approval/denial of license if the facility is SNF or ALF; • Recertification surveys HCFA-670, Form HCFA 2567, HCFA 2567B; • Client Sample List, WAC violation documentation if applicable; • Fire Marshall Full Survey and correspondence in chronological order.	**Retain** for 6 years after recertification issued *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for persons Intellectual Disabilities (ICF/ID), Resident and Client Protection Program (RCPP), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60666 Rev. 3	***Residential Care Services Working Paper Files*** Contains residential care services working papers that provide work product documentation to support investigation conclusion. *Note: Series contains confidential information.*	**Retain** for 4 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

3. DSHS INSTITUTIONS

This section covers records relating to the institutions operated by the Department of Social and Health Services

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-08-51207 Rev. 1	***24-Hour Nursing Reports*** A change of shift communication tool summarizing entries in patient case records. Used by Quality Assurance Department to prepare restraint/seclusion reports. *Note: Primarily used by Office 763 Western State Hospital and Office 769 Special Commitment Center.* *Note: Series contains confidential information.*	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31415 Rev. 3	***Admission and Discharge Registers*** Maintains a chronologic record of resident admissions, discharges, and transfers. *Note: Series contains confidential information.*	**Retain** for 10 years after completion of action report *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-11-34723 Rev. 0	***Controlled Drug Perpetual Inventory Records*** Provides a record of controlled drug/substance inventories maintained by the institution pharmacy. Includes, but is not limited to: • Biennial inventory of controlled substances required by the Federal Drug Enforcement Administration; • Other reports as necessary.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
85-12-35762 Rev. 2	***Daily Population Reports*** Printout of daily changes of the clients at institutions, used to record the total changes of clients. *Note: Series contains confidential information.*	**Retain** for 3 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
86-09-37496 Rev. 3	***Employee/Volunteer Health Records*** Provides documentation about employee or volunteer immunization status and epidemiology test results. Includes, but is not limited to: • Results of testing for HIV and Hepatitis B; • Exposure to biological agents per Chapter 296-802 WAC; • Kinship Care. *Note: Series contains confidential information.*	**Retain** for 30 years after termination of employment/volunteer *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-12-35763 Rev. 2	***Fire/Safety/CPR Training Records*** Verifies completion of required staff training.	**Retain** until superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
82-09-30273 Rev. 2	***Food Commodity Records*** All documentation regarding food commodities as it relates to the U.S. Department of Agriculture (USDA) Child Nutrition Program. Includes, but is not limited to: • Reports; • Reimbursements; • Guidelines.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
85-12-35764 Rev. 4	***Master Patient Index*** Provides confidential basic information and is the alpha index list to the Mental Health Division patient case files. Includes, but is not limited to: • Patient name, case number, and dates of admission/discharge; • Cases that have been transferred; • Names of patients buried on hospital grounds. *Note: Additionally used for genealogy requests, research, etc.* *Note: Series contains confidential information.*	**Retain** for 75 years after transfer/discharge of client *then* T**ransfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OPR

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-09-37550 Rev. 2	***Medical Record Census Input Documents*** Provides a record of census data which has been input into the Mental Health Institution Information System (MHIIS). *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-06-52550 Rev. 3	***Medicare and Medicaid Cost Reports*** Annual reports for state mental hospitals required by federal government (HCFA 2552 with supporting documentation) as a condition for Medicare reimbursement. Summarizes hospital cost data needed to determine daily rate and fee schedule.	**Retain** for 5 years after receipt of Notice of Program Reimbursement (NPR) *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
97-10-58163 Rev. 1	***Mental Health Patient Case Records*** Patient case records documenting services provided while a patient. *Note: Series contains confidential information.*	**Retain** for 75 years after patient's last discharge *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
84-11-34776 Rev. 2	***Nursing Aide Certification Student Records*** Documents completion of certification requirements including examinations, attendance, work experience, and checklists. The nursing aide certification program is approved by the State Board of Nursing per WAC 246.841.510. *Note: Series contains confidential information.*	**Retain** for 35 years after completion of training *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-11-34720 Rev. 1	***Prescription Files*** Documents prescriptions filled by the pharmacy. *Note: Series contains confidential information.*	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-08-51210 Rev. 1	***Psychological Test Raw Data*** Consists of raw test data and notes by the psychologist. Used to prepare Psychological Reports for the patient record. *Note: Series contains confidential information.*	**Retain** for 15 years after discharge or transfer *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-08-51203 Rev. 2	***Psychology Intern Applicant Support Files*** Supporting documentation from applicants for psychology internships. Includes vitae/resumes, transcripts, letters of recommendation, and applicant ratings. *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-08-51204 Rev. 1	***Psychology Internship Training Rating File*** Documents intern rating of training and supervision received during internship. Used for program accreditation and evaluation purposes.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
85-12-35775 Rev. 0	***Quality Assurance Plan/Status Log/Problem Report*** Provides documentation of quality assurance audits for Medical Support Service.	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31417 Rev. 4	***Resident Abuse Investigation Files*** Provides documentation of the investigation of suspected resident abuse. Includes physical findings, photographs, studies, and conclusions. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 7 years after resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
79-07-22788 Rev. 3	***Resident Case Master Index*** Provides basic information on a case and documents cases that have been transferred. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 50 years after resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
75-05-10896 Rev. 3	***Resident Case Record*** Provides a record of all services provided the resident prior to and during institutionalization in a state operated facility for the developmentally disabled. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 50 years after resident's death/discharge *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
84-11-34718 Rev. 3	***Resident Medication Profile Cards*** Provides summary of prescription drugs and quantities dispensed by the pharmacy. Resident's habilitative case file contains physician orders and medication administration (flow sheets) record. Prescriptions are retained separately. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** until resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-11-34713 Rev. 1	***Resident Test Profiles*** Actual test materials, raw data and results from which formal evaluation or assessment is formulated. Reports are filed in the resident rehabilitative case record. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
73-11-03252 Rev. 2	***Statistical Report (Ward Census)*** Reports patients coming in and leaving the hospital and census of the wards. *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
84-11-34753 Rev. 1	***Work and Vacation Schedules*** Documents employee work schedules, shifts, and days off.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-12-62333 Rev. 1	***Communications Center Response Reports*** Security log documentation of responses by Western State Hospital Communication Center regarding both routine and rapid response emergency calls. Information contained includes date and time, information given to Security Guards, type of emergency code, and reports to police. Includes, but is not limited to: • Patients missing or exhibiting notable behavior; • Lakewood and Steilacoom police calls; • Medical emergencies. *Note: Series contains confidential information.*	**Retain** for 10 years date of incident *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
10-12-62336 Rev. 0	***Dietary Services Food Health and Safety Records*** Safety and health documentation of food cooked and served, and stored in refrigerators/freezers by Dietary Services, ward kitchens, storage areas, dishwashing areas, and hot food carts. Includes, but is not limited to: • Inspections results and food temperature recordings; • Sanitation solution log; • Cleaning schedules.	**Retain** for 2 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-05-62198 Rev. 0	***Medication Area Inspection Record*** Medication Area Inspect Records, WSH 14-04, forms are completed monthly by a Pharmacy Technician after completing an inventory and medication distribution area inspection of the cottage medication rooms. *Note: Information is verified by a nurse and kept in a binder located in the medication room.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-12-62337 Rev. 1	***Patient Work Records*** Documentation used to track patients and patient work schedules employed by Dietary Services, including accounting information to pay patient workers. *Note: Series contains confidential information.*	**Retain** for 6 years after termination of employment *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
10-12-62334 Rev. 1	***Security Shift Activities and Incident Reports*** Narrative reports about incidents involving staff, patients, and/or visitors which may include photographs, evidence, contraband, and Health Insurance Portability and Accountability Act (HIPAA) information. This series also includes traffic citations and documents daily security shift activities. *Note: Series contains confidential information.*	**Retain** for 7 years after date of incident *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62153 Rev. 1	***Single Bed Certifications (SBC)*** Single Bed Certification forms are used for patients who have been detained and are in a community hospital waiting either for placement at Western State Hospital (WSH) or discharge from the community hospital. These forms authorize patients to stay in the community hospital although they are psychiatric patients. WSH receives the requests for SBC authorization as the designee for the Mental Health Division per WAC 388-865-0526. *Note: Series contains confidential information.*	**Retain** for 6 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-12-62335 Rev. 0	***Special Parking Permits*** Permits issued to employees who drive their vehicle while conducting hospital business.	**Retain** for 2 years after permit issue date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
85-12-35766 Rev. 0	***Staff Orientation Checklist*** Used to familiarize new employees with work environment.	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.3 CHILD STUDY AND TREATMENT CENTER – Office 765

This section covers records relating to records specific to the Child Study and Treatment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-09-37557 Rev. 1	***Cottage Journals*** Provides a record of administrative activities within residential units and documents events worthy of note. *Note: Series contains confidential information.*	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
86-09-37551 Rev. 3	***Disease/Diagnosis Index*** Provides an index of Child Study and Treatment Center patients' final diagnoses. Used for research and hospital statistics. *Note: Series contains confidential information.*	**Retain** for 20 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
86-09-37548 Rev. 2	***Forensic Evaluation Record*** Provides a record of forensic evaluations on children referred to the Child Study and Treatment Center. *Note: Series contains confidential information.*	**Retain** for 10 years after child is 18 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-03-62121 Rev. 2	***Free or Reduced Meal Documents*** Office of Superintendent of Public Instruction (OSPI) records documentation for free or reduced meals, includes, but not limited to: • National School Lunch Act applications and verification; • School breakfast program plans and documentation; • Records of food prepared and served; • Meal tickets/credits and pre-paid meal tickets issued; • Monthly meal counts. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

3.3 CHILD STUDY AND TREATMENT CENTER – Office 765

This section covers records relating to records specific to the Child Study and Treatment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-03-62122 Rev. 0	***Hazard Analysis and Critical Control Points (HACCP) Documentation:*** Food production plans and reports of standard operating procedures in key actions, called Critical Control Points, which address physical, chemical, and biological safety preventions/precautions required by HACCP (a federal program).	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
86-09-37545 Rev. 3	***Patient Case Records (Child Study and Treatment Center)*** Documents services provided to patients in the residential and pre-adolescent day treatment programs. *Note: Series contains confidential information.*	**Retain** for 75 years after child is 18 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
10-04-62138 Rev. 2	***Patient Observation Checklist Forms*** Documentation of patient status checks performed every ½ hour for safety and security of the patients hospitalized at the Child Study and Treatment Center. Includes, but is not limited to: • Bed check logs; • Nurse or counselor notes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
10-04-62139 Rev. 2	***Shift Report*** Documentation of patient and shift information presented at shift change meetings to inform on-coming shift of prior shift occurrences. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-08-52668 Rev. 0	***Daily Count Slips*** Records resident counts taken several time each day.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
93-08-52664 Rev. 1	***Psychometric Testing Records*** Includes test results and raw data, video interviews, audio recordings, plethysmograph and polygraph tapes (on thermal paper), and consent forms. Copies of results and evaluations are filed in the Special Committee Center (SCC) Resident Case Record and sent to the prosecuting attorney. *Note: Series contains confidential information.*	**Retain** for 6 years after evaluation is completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-08-52659 Rev. 0	***Resident Work Records and Reports*** Provides documentation of resident employment and monies credited to their trust account. Includes time sheets.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
93-08-52669 Rev. 0	***Security Inspection Sign-Off Sheets*** Form SCC-07, documents completion of regular security inspections.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-08-52663 Rev. 0	***Sharp Instrument Log*** Documents resident check out and return of razors or other sharp instruments.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
94-01-53477 Rev. 2	***Special Commitment Center Resident Case Files*** Documents the evaluation, treatment, and progress of committed residents. Includes progress notes and other documentation. Includes: Intensive Watch Sheets; Progress Notes; copies of legal documents relating to commitment; copies of selected documents from the Dept. of Corrections inmate case file (Infraction Reports, Classification Progress Reports); correspondence; Evaluation Reports; Treatment Plans; copies of documents from local law enforcement agencies (Police Investigations, Evidence Reports, Victim's Statements, Confessions, Pre-sentence Investigations, and Local Community Corrections Reports); Medication Charts; and Lab Reports. *Note: Series contains confidential information.*	**Retain** for 75 years after release of custody *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
07-09-61629 Rev. 1	***Special Commitment Center (SCC) Investigative Files*** All investigative materials collected by the Investigations Office, including but not limited to Incident Reports, witness statements, images whether photographic, video or otherwise, shall be maintained by the investigator's office until conclusion of the investigation. *Note: The final report is kept in the Special Commitment Center Resident Case File, DAN 94-01-53477.* *Note: Series contains confidential information.*	**Retain** for 6 years after close of investigation *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-09-61630 Rev. 1	***Special Commitment Center (SCC) Investigative Unfounded Video Tapes*** Video tapes made of room searches where contraband was not found. *Note: Series contains confidential information.*	**Retain** for 3 months after close of investigation *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-08-52661 Rev. 1	***Unit Control Logs*** Records documenting activity in the treatment units during a shift including visitors, staffing, equipment in/out, and food services provided.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

3.5 RAINIER SCHOOL – Office 814

This section covers records relating specifically to Rainier School.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31416 Rev. 2	***Death Register*** Maintains a chronologic list of resident deaths. *Note: Series contains confidential information.*	**Retain** for 50 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31430 Rev. 0	***Hall Daily Books*** Records activities on resident halls. Used for inter-shift communication. Includes Census Book, Visitor Log, Maintenance Log, Inter-Shift Communication Book, Living Unit Staff Book, Program Cancellation Log, Fire Drill Log, and Initial Roster.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31435 Rev. 1	***Population Change Record*** A weekly record documenting population changes. *Note: Series contains confidential information.*	**Retain** for 1 year after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31420 Rev. 1	***Surname Reference Card*** Provides a cross reference between residents and relatives or correspondents.	**Retain** for 50 years after death/discharge/transfer of resident *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.5 RAINIER SCHOOL – Office 814

This section covers records relating specifically to Rainier School.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31431 Rev. 0	***Twice Daily Count Record*** Documents resident counts.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
84-11-34781 Rev. 2	***X-Ray Films – Developmentally Disabled (DD) Institution Employees*** Records physical condition of employees/staff at an institution for the developmentally disabled. Reports are filed in the employee's personnel file. *Note: Series contains confidential information.*	**Retain** for 5 years after termination of employment *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM

3.6 YAKIMA VALLEY SCHOOL – Office 817

This section covers records relating specifically to Yakima Valley School.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31426 Rev. 0	***Foster Grandparent Files*** Provides documentation to support actions and transactions in administering the program.	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.7 STATE OPERATED LIVING ALTERNATIVE (SOLA) – Office 819

This section covers records relating specifically to State Operated Living Alternative (SOLA) facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61100 Rev. 1	***Medical Management Files*** Provides a record of medical management of Division of Developmentally Disabled (DDD) clients living independently in State Operated Living Alternative (SOLA) homes. These records are used for communication among the staff and shifts of a SOLA home to insure coverage and consistency. Includes, but is not limited to: • Medication Administration Records (MAR); • Tracking flow sheet (e.g., behavior, sleep, eating); • 90-day reviews, and nurse delegation notes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
06-01-61099 Rev. 1	***State Operated Living Alternative (SOLA) Client Personal Files*** Contains copies of award letters, employment reports and files, individual client service plans, and Plan of Care agreements. Kept for home audits. Original documents are kept under 77-10-20105 Developmental Disabilities Client Case Files for 10 years after client death or discharge. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
06-01-61097 Rev. 1	***State Operated Living Alternative (SOLA) Client Personal Financial Records*** Contains financial records of SOLA program clients to include individual client financial plans, bank statements, check registers, cash fund ledgers, lease agreements, household ledgers, pay stubs, tax returns, medical payments, audit forms, inventory records, utility bills, etc. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

3.7 STATE OPERATED LIVING ALTERNATIVE (SOLA) – Office 819

This section covers records relating specifically to State Operated Living Alternative (SOLA) facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61098 Rev. 1	***State Operated Living Alternative (SOLA) Inventory of Pharmaceuticals*** Daily inventories of pharmaceuticals located at SOLA homes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
80-08-25415 Rev. 2	***Supported Living Files*** Provides a record of training and supervision of Division of Developmentally Disabled (DDD) clients living independently in State Operated Living Alternative (SOLA) homes to include detailed documentation of daily activities of SOLA residents such as daily log sheets and staffing pager log sheets. These records are used for communication among the staff and shifts of a SOLA home to insure coverage and consistency. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4. CHILDREN'S ADMINISTRATION

This section covers records relating to all divisions within the Children's Administration which are not covered by the *State Government General Records Retention Schedule*.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-06-52555 Rev. 1	***Adoption Support Applications (Withdrawn)*** Applications for adoption support with supporting documentation where applicants have withdrawn from the process. Includes, but is not limited to: • Child's registration DSHS 10-061; • Family's Application and request for Adoption Finalization Costs DSHS 09-998; • Policy Exception Requests; • Copies of family's Federal Income Tax Returns; • Child's Medical Background and Family History DSHS 13-041; • Worksheet DSHS 09-997; • Medical or therapeutic Records; • Home Study; • Shared Planning 14-474. Adoption support services include financial assistance for the adoptive family for special needs children. A family may re-apply for services at anytime during the adoptive child's minority. Adoption support is a form of financial assistance per RCW 74.13A.100-145 and WAC 388-27-005 to -0390. *Note: Confidential (RCW 74.13A.065).*	**Retain** for 18 years after the application is withdrawn *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-03-03776 Rev. 5	***Adoptive Child, Legally Free Child, and Guardianship Child and Support Case Files*** Contains registration, medical report, status change report, foster parent adoption report, adoptive service schedule documentation, Legally Free Child information, and Guardianship documents. To record and operate State Adoption Support Program in compliance with requirements of RCW 74.13A.100-145 and WAC 388.27-005 to -0390. Case file contents include, but not limited to: • Child's registration DSHS 10-061; • Family's Application and request for Adoption Finalization Costs, DSHS 09-998; • Policy Exception Requests; • Copies of family's Federal Income Tax Returns; • Child's Medical Background and Family History, DSHS 13-041; • Worksheet, DSHS 09-997; • Medical or therapeutic Records; Home Study; • Shared Planning, DSHS 14-474; • Agreement, DSHS 10-228; • Revised Adoption Support Agreement, DSHS 10-227; • Change in Service Authorizations, DSHS 14-159; • Adoption Support Monthly Counseling Billing, DSHS 06-160; • Correspondence; • Letter for 18 year old, DSHS 15-413; • Pre Authorization for Services, DSHS 10-214. *Note: Adoption case files are retained permanently by Superior Courts in accordance with DAN CL65-01-08 in the County Clerk and Superior Court Records Retention Schedule.* *Note: Confidential (RCW 74.13A.065).*	**Retain** for 100 years after adoption final, Legally Free child ages out of foster care, or after the establishment of the Guardianship *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99-11-59329 Rev. 4	***Child Welfare Services Case Files*** Includes law enforcement reports, medical reports, reports to the court, court orders, child interview notes, correspondence, and school reports. Also included case records related to the Education and Training Voucher (ETV) program which provides financial help to foster youth. *Note: Series contains confidential information.*	**Retain** for 35 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
91-09-48136 Rev. 6	***Children's Administration Licensing / Certification Files (Denied or Revoked)*** Documents denial of child care facility license application, and licenses issued and subsequently revoked. Includes, but is not limited to: • Applications, evaluations, and unified home studies; • Reviews and monitoring; • Authorizing documents, investigative materials, and correspondence. *Note: Series contains confidential information.*	**Retain** for 35 years after denial or revocation *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
94-06-53778 Rev. 1	***Children's Services Administration Complaint Files*** Documents constituent complaints/concerns and their resolutions per WAC 388-74 and RCW 74.13.045. Complaints come from affected persons who do not have rights to adjudicative or judicial remedies. Includes Panel Review findings and recommendations. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-09-48135 Rev. 6	***Division of Licensed Resources (DLR) Licensing/Certification Files*** Includes applications, checklists or evaluation guides, home studies/reviews/monitoring, authorizing documentation, other documents and correspondence, and unlicensed unified home studies. *Note: Series contains confidential information.*	**Retain** for 6 years after case closed and not renewed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
93-05-54585 Rev. 2	***Foster Parent Reimbursement Claims*** DSHS 18-400 with supporting documentation to claim reimbursement for damages per WAC 388-70-058. Includes receipts, verification documents, claims investigations and adjudications, and copies of Invoice Vouchers submitted to Accounting Services. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
05-02-60801 Rev. 3	***Foster Parent Training*** Provides records of foster parent training that is required as part of the foster parent program. Classes include first aid, HIV/BBP, pre-service, in-service, sexually and physically aggression, fetal alcohol syndrome, behavior disorders, and de-escalation. Includes, but not limited to: • Schedules of class and class attendees. • Quarterly or other status reports. • Documentation and evaluations used to show a foster parent has taken a class. *Note: In the event of litigation, the agency has to show the child's foster parents had special training.* *Note: Series contains confidential information.*	**Retain** for 35 years after completion of class *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99-11-59322 Rev. 5	***Founded Allegations of Child Protective Services Case Files*** Includes law enforcement reports, medical reports, reports to the court, court orders, child interview notes, correspondence and other records not stored in Children's Administration Statewide Automated Child Welfare Information System (SACWIS). *Note: Series contains confidential information.*	**Retain** for 35 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
77-10-20089 Rev. 6	***Interstate Compact Placement Files (WA Receiving)*** A record of placement of children from other jurisdictions in WA homes under the terms of the Interstate Compact for the Placement of Children (chapter 26.34 RCW). *Note: Series contains confidential information.*	**Retain** for 100 years after placement *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
99-11-59324 Rev. 4	***Unfounded Allegations of Child Protective Services Case Files*** Provides records of unfounded allegations. Includes, but is not limited to: • Law enforcement reports, medical reports; • Reports to the court, court orders, child interview notes; • Correspondence and other records not stored in Children's Administration Statewide Automated Child Welfare Information System (SACWIS). *Exception to the six year retention and disposition action: If a child named in an unfounded CPS investigation (or his/her sibling, half sibling, parent, guardian, or legal custodian) has a prior founded finding or a founded finding made during the six years following the unfounded investigation, the retention defaults to DAN 99-11-59322 and will be retained for 35 years. Please see RCW 26.44.031 for further details.* *Note: Series contains confidential information.*	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

5. ECONOMIC SERVICES ADMINISTRATION

This section covers records relating to offices within the Economic Services Administration. This includes all Community Services Offices, Office 600 Community Services Division, and Office 781 ESA Operations Support Division.

5.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-02-36057 Rev. 4	***Case Record – Financial, Extra Volume*** Documentation of eligibility and payments to recipients for financial, medical, or food stamp benefits. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after creation of new volume *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
74-05-05110 Rev. 6	***Case Record – Financial, Final Volume*** Documentation of eligibility and payments to recipients for financial, medical, or food stamp benefits. Also covers cases transferred to OFR for estate recovery action. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after financial services case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
86-02-36058 Rev. 4	***Case Record – Social Services, Extra Volume*** Documentation of eligibility and authorization for social services provided as outlined in the Social Services Manual. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after creation of new volume *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

5.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-05-05111 Rev. 8	***Case Record – Social Services, Final Volume*** Documentation of eligibility and authorization for social services provided as outlined in the social services manual. Also covers cases transferred to OFR for estate recovery action. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after social services case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
10-09-62312 Rev. 1	***Electronic Benefit Transfer (EBT) Records*** All records about the EBT card program. Includes, but is not limited to: • Supplemental Nutrition Assistance Program (SNAP) benefits transferred to/from the facilities' and client accounts. • Annual audit reports/information related to the functions of each facility to ensure guideline and federal rules and regulations compliance. • Missing, replaced or recovered EBT cards. • Signed reconciliations for EBT card inventory. • Any other card-related paper documents (shipping manifests, etc.).	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
74-06-05292 Rev. 5	***Exception to Policy Records (State and Local Office Files)*** Documents requests for exception rulings. Includes DSHS 05-010, Policy Exception Request, and DSHS 05-177, Notice of Policy Exception Action. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-03-47462 Rev. 1	***Income Assistance Lawsuit Files*** Documents relating to lawsuits involving Economic Services Administration income assistance.	**Retain** for 6 years after suit resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
75-10-15969 Rev. 3	***Negotiable Control Records and Reports*** Documents receipt and disposition of negotiable items and affidavits processed through the automated Registration and Control of Negotiables (RCN) system. Includes, but is not limited to: • Signed Negotiable Release Forms; • Reconciled monthly reports; • Screen-prints of deleted RCNS; • Warrant/affidavit transmittal copies; • FCA destruction report; • All other related forms and correspondence. *Note: Reference the RCN Handbook*	**Retain** for 3 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-06-50769 Rev. 2	***Office of Refugee and Immigrant Assistance (ORIA) Social Services Case Files*** Documents ORIA provided foster care services for unaccompanied minors. *Note: Office 925 Office of Refugee and Immigrant Assistance (ORIA) is the primary user of this series.* *Note: Series contains confidential information.*	**Retain** for 9 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

5.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
75-08-13170 Rev. 2	***Public Assistance Programs Correspondence*** Public Assistance Programs correspondence from key stakeholders and customers regarding the implementation, maintenance, staffing, budgeting, training, and monitoring used to maintain a records for potential litigation, complaints, comments, or legal interpretations. May address legal issues. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
84-01-33323 Rev. 2	***Quality Control Management Evaluation Case Reviews and Review Schedules*** Provides a sample of case records to be reviewed for compliance with Food Stamp rules and regulations relating to quality control. *Note: Office 781 ESA Operations Support Division is the primary user of this series.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
94-02-53578 Rev. 2	***Washington Telephone Assistance Program (WATAP) Fair Hearing and Appeal Records*** Washington Telephone Assistance Program (WATAP) requests for appeal of eligibility for program payments and documentation of decisions. *Note: Series contains confidential information.*	**Retain** for 6 years after final action on case *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 OFFICE OF FINANCIAL RECOVERY – Office 240

This section covers records relating to Office 240 Office of Financial Recovery.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99-11-59334 Rev. 2	***Collection Case Files*** Delinquent out-standing accounts for various DSHS offices that are collected. Includes, but is not limited to: • Fiscal records and accountability documents for claims; • Documentation of account and collection activities. *Note: Including Juvenile Rehabilitation facilities, DSHS mental health and developmentally disabled institutions, and overpayments to clients, vendors, and employees.*	**Retain** for 6 years after account closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
71-06-01637 Rev. 1	***Securities and Other Negotiable Instruments*** Stocks, bonds, or other negotiable that provides security for payment of debts due DSHS. Negotiables are submitted by the party responsible for an account and held until the account is paid then they are returned to the responsible party.	**Retain** until debt claim resolved *then* **Return** to responsible party.	NON-ARCHIVAL **ESSENTIAL** OPR

5.3 DIVISION OF CHILD SUPPORT – Office 260

This section covers records relating to the Division of Child Support

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-09-53098 Rev. 1	***Child Support Program Administration*** Operational policies and procedures of the Division of Child Support, including superseded pages and revision control notices. Includes the State Child Support Plan and support schedules. This falls under RCW 6.17.020(2). *Note: Aligns with the case file retention so that any disputed casework can reference the procedure in place at the time the case was worked.*	**Retain** for 28 years after policy/procedure discontinued *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OFM
90-03-45928 Rev. 5	***Child Support Program Case Information*** Support Enforcement Management System data which falls under RCW 6.17.020(2). Information used to establish, enforce, collect and disburse child support obligations. *Note: Series contains confidential information.*	**Retain** for 28 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
80-06-25027 Rev. 2	***Child Support Program Reports*** Collection and statistical information needed for the operation of the Title IV-D child support program as described in the Social Security Act. Includes, but is not limited to: • Reports for covering program effectiveness and statistical trending; • Reports generated for legislative review; • Information used to determine propriety of expenditures for which participation is claimed. *Note: Includes reports listed in SEMS Reports Index.*	**Retain** for 6 years after end of calendar year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** OFM

5.4 DIVISION OF DISABILITY DETERMINATION SERVICES – Office 510

This section covers records relating to the Division of Disability Determination Services (DDDS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-10-26096 Rev. 2	***Disability Insurance Case Files (Partial)*** Maintains a record of identifying information (name, Social Security Number, allowed or disallowed decision, and decision date) on case files sent to the federal Social Security Administration (SSA). *Note: Series contains confidential information.*	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
12-06-68253 Rev. 2	***Disability Insurance Master File*** Maintains an electronic record of case decisions and file location. *Note: Replaces DAN 80-MM-26097.* *Note: Series contains confidential information.*	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
84-07-34185 Rev. 1	***Fee Schedules and Billing Instructions*** Documents reimbursement rates and policies for medical assistance providers. Includes rate sheets; copy of published fee schedules and billing instructions; reviews and comments on billing instructions prior to publication; and related back-up.	**Retain** for 6 years after superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-03-33496 Rev. 1	***Hearing/Appeal Files (Social Security Administration)*** Provides informational copies of documentation of decisions made by Social Security Administration on appeal cases for the Division of Disability Determination Services. *Note: Series contains confidential information.*	**Retain** for 2 years after resolution of findings *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.4 DIVISION OF DISABILITY DETERMINATION SERVICES – Office 510

This section covers records relating to the Division of Disability Determination Services (DDDS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-12-26570 Rev. 7	***Medical Evidence of Record (MER) Payments*** Provides documentation of payment for medical reports from physicians. Maintained for federal audit purposes. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-12-26569 Rev. 6	***Medical Exam Vouchers – Consultative Examinations (CE)*** Provides documentation of payment for services performed by medical vendors. Maintained for federal audit purposes. Includes travel, lab, and remittance advice. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6. JUVENILE JUSTICE AND REHABILITATION ADMINISTRATION – Office 720

This section covers records relating to juvenile justice and rehabilitation services managed by the Juvenile Justice and Rehabilitation Administration which are not covered by the *State Government General Records Retention Schedule*.

6.1 JUVENILE REHABILITATION – Office 730

This section covers juvenile rehabilitation records managed by all JJRA headquarters, group homes, regional offices and institutions except Special Commitment Center records which are found under Chapter 3. DSHS INSTITUTIONS.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-12-60837 Rev. 2	***Civil Commitment Files*** Documentation regarding the civil commitment of juvenile sex and/or violent offenders. *Note: Juvenile Sex/Violent Offender case files are kept 75 years after release from a Juvenile Rehabilitation Administration facility under DAN 92-01-49725.* *Note: Series contains confidential information.*	**Retain** for 6 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
82-09-30284 Rev. 1	***Clothing Records*** Documents clothing issued to JRA residents.	**Retain** for 1 year after superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31360 Rev. 2	***Juvenile Case File (Non-Sex/ Non-Violent Offender)*** The official client record containing commitment, diagnostic, health, case management, treatment records, school files, and student transcripts. The case file follows the youth throughout their commitment to JRA. *Note: Series contains confidential information.*	**Retain** for 13 years after release from JRA jurisdiction *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

6.1 JUVENILE REHABILITATION – Office 730

This section covers juvenile rehabilitation records managed by all JJRA headquarters, group homes, regional offices and institutions except Special Commitment Center records which are found under Chapter 3. DSHS INSTITUTIONS.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-01-49725 Rev. 2	***Juvenile Case File (Sex/Violent Offender)*** The official client record that follows the youth throughout their commitment to Juvenile Rehabilitation Administration. Includes, but is not limited to: • Commitment, diagnostic, and health records; • Case management and treatment records; • School files, and student transcripts. *Note: Series contains confidential information.* *Note: Series includes all contracted Department of Corrections youth in DSHS care records.*	**Retain** for 75 years after release from JRA jurisdiction *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
92-09-51249 Rev. 2	***Logbooks and Rosters (Cottage, Lodge, Domicile)*** Provides detailed documentation of daily activities of residents including student activities, visits, and security checks.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OFM
82-09-30276 Rev. 3	***Resident Financial Accounting Records*** All documentation regarding resident financial records. Includes, but is not limited to: • Checking and savings accounts; • Other receipt and disbursement of student or resident funds; • Monies earned under the student incentive plan; • Disbursement of welfare funds for goods and services.	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.1 JUVENILE REHABILITATION – Office 730

This section covers juvenile rehabilitation records managed by all JJRA headquarters, group homes, regional offices and institutions except Special Commitment Center records which are found under Chapter 3. DSHS INSTITUTIONS.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
76-05-17014 Rev. 3	***Treatment Working File*** Working copy of youth's JRA case file used by case managers as a quick reference while working with the youth during their commitment to an institution. *Note: Series contains confidential information.*	**Retain** for 6 months after transfer of client out of JRA residential facility *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.2 GOVERNOR'S JUVENILE JUSTICE ADVISORY COMMITTEE – Office 731

This section covers records relating to services provided by the Governor's Juvenile Justice Advisory Committee (GJJAC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-01-47352 Rev. 1	***Jail Survey/Monitoring Questionnaires*** A periodic statistical survey of juvenile correctional facilities and institutions. Provides baseline data.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.3 DIVISION OF VOCATIONAL REHABILITATION – Office 950

This section covers records relating to the Division of Vocational Rehabilitation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-10-07016 Rev. 1	***Service and Complaint Files*** Communications covering inquiries regarding Division of Vocational Rehabilitation services, complaints, etc. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
74-07-05549 Rev. 6	***Vocational Rehabilitation Client Case Files*** Documents services provided to clients. Includes client applications and authorizations for purchased services. *Note: Series contains confidential information.*	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

7. LEGACY RECORDS

This section covers records no longer being created or received by the Department of Social and Health Services (or any predecessor agencies) which have yet to reach their minimum retention period.

7.1 FORMER OMBUDSMAN – Office 209

This section covers records relating to investigative files of programs within the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62195 Rev. 1	***Ombudsman Investigation Files*** Ombudsman investigative files pertain to external review of programs within the Special Commitment Center (SCC) to ensure policy is followed. Includes, but it not limited to: • Personal notes, notes from the courts; • Supporting documents for SCC investigations related to complaints about practice/policy and statutes. Excludes criminal investigations, legal investigations or investigations related to their sex offender status. *Note: Office was closed on June 30, 2012.*	**Retain** for 6 years after close of investigation *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM

7.2 LAKELAND VILLAGE – Office 812

This section covers records relating specifically to Lakeland Village.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-09-61276 Rev. 0	***Lakeland Village Swimming Pool Use – Nonscheduled Hours*** Records used to document Lakeland Village pool use to include log-in (name, date and time of pool use), checklists for safety and pool rules, and signed authorizations acknowledging pool orientation, permission to use pool, and receipt of pool rules.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

7.3 RESIDENTIAL CARE SERVICES – Office 431

This section covers records relating specifically to Residential Care Services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60681 Rev. 3	***Resident and Client Protection Program Closed/No Finding/Overturned Finding Case Files*** Records documenting resident and client protection closed, no finding or overturned case files. Includes, but is not limited to: • Complaint intake and routing form; • Investigator's working papers and photographs; • Facility investigation documents; • Financial and resident records; • Police and investigator reports. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR
12-06-68251 Rev. 1	***Resident and Client Protection Program Individuals With Findings File*** Records documenting resident and client protection individuals with findings case files. Includes, but is not limited to: • Complaint intake and routing form; • Investigator's working papers and photographs; • Facility investigation documents; • Financial and resident records; • Police and investigator reports; • Hearing documentation. *Note: Care provider cannot work for ADSA clients/facilities until an appeal overturns the finding by law. Once reversed, the record is retained under 04-05-60681.* *Note: Series contains confidential information.*	**Retain** for 60 years after finding or until overturned then **Destroy**.	NON-ARCHIVAL **ESSENTIAL** OPR

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as "Archival". Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as "Office Files and Memoranda" for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) "Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda."

OPR (Official Public Records)

Public records which have been designated as "Official Public Records" for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) "Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents

required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records."

Public Records

RCW 40.14.010 – Definition and classification of public records.

"… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…"

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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