**This schedule applies to: Department of Health**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Health and the State Board of Health relating to the unique functions of protecting and improving the health of the people of Washington State. 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 Health and its predecessors are revoked. The Department of Health 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 June 5, 2019.

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| *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the State Auditor:**  **Al Rose** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Attorney General:**  **Suzanne Becker** | *-*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Office of Financial Management:**  **Gwen Stamey** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **The State Archivist:**  **Steve Excell** |

Revision History

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| Version | Date of Approval | Extent of Revision |
| 1.0 | December 5, 2012 | Consolidation and major revision of all existing disposition authorities. | |
| 1.1 | December 4, 2013 | Revisions to the Program Management, Investigations, Environmental Health, Healthcare Professions, Shellfish Operations, Radiation Facility and Professional Licensing and Radionuclide Free Food Certifying, and Legacy Records sections, with other minor revisions for clarification. Addition of the Indoor Air Quality section. Addition of the *Healthcare Professional Credential Applications – Imaged Source Records* series approving destruction of the paper copies of Healthcare Professional Credential Applications that have been scanned.  Major changes include:   * Designations of all Permanent Archival Records after appraisal by the Archives; * Designations of all Essential Records; * Retention cut-offs simplified, wherever possible; and, * Addition of a Subject Index and Essential Records Index. | |
| 1.2 | June 3, 2015 | Minor revisions to the Agency Management, Radiation Protection, Vital Records, and Legacy Records sections. Addition of a Records with Minimal Retention Value section. | |
| 1.3 | December 7, 2016 | Further consolidation of disposition authorities. Alignment of schedule with just released SGGRRS version 6.0. Removal of Financial Management, Records with Minimal Retention Value and Legacy Records section Addition of the Public Health Assessments, Studies, Research Projects section. | |
| 1.4 | June 5, 2019 | Minor revisions to the Licenses, Permits, Credentials section for functions transferred from the Department of Social and Health Services as part of the Behavior Health Initiative and for functions transferred to the Office of the Insurance Commissioner relating to Independent Review Organizations. | |

For assistance and advice in applying this records retention schedule,

please contact the Department of Health’s Records Officer

or Washington State Archives at:

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

**TABLE OF CONTENTS**

[1. AGENCY MANAGEMENT 7](#_Toc9590839)

[1.1 EXECUTIVE LEVEL RECORDS 7](#_Toc9590840)

[1.2 RISK MANAGEMENT 8](#_Toc9590841)

[2. ASSET MANAGEMENT 10](#_Toc9590842)

[2.1 ENVIRONMENTAL MANAGEMENT 10](#_Toc9590843)

[3. PROGRAM MANAGEMENT 11](#_Toc9590844)

[4. HEALTH SERVICES TO YOU AND YOUR FAMILY 12](#_Toc9590845)

[4.1 CLIENT ASSISTANCE SERVICES 12](#_Toc9590846)

[4.2 INFANTS, CHILDREN, TEENS ASSISTANCE SERVICES 13](#_Toc9590847)

[4.3 IMMUNIZATIONS 14](#_Toc9590848)

[4.4 WOMEN, INFANTS, CHILDREN (WIC) HEALTH AND NUTRITIONAL SERVICES 15](#_Toc9590849)

[5. ILLNESS AND DISEASE 16](#_Toc9590850)

[5.1 ANIMAL IMPORTATION 16](#_Toc9590851)

[5.2 INVESTIGATIONS 17](#_Toc9590852)

[5.3 NOTIFIABLE CONDITIONS 20](#_Toc9590853)

[5.4 PUBLIC HEALTH RISK NOTIFICATIONS 21](#_Toc9590854)

[6. PUBLIC HEALTH ASSESSMENTS, STUDIES, RESEARCH PROJECTS 22](#_Toc9590855)

[7. ENVIRONMENTAL HEALTH 23](#_Toc9590856)

[8. LICENSES, PERMITS, CREDENTIALS 25](#_Toc9590857)

[8.1 RECORD SERIES COMMON TO ALL LICENSING, PERMITTING, CERTIFYING AND INSPECTING 25](#_Toc9590858)

[8.2 DRINKING WATER FACILITIES AND PROFESSIONALS 27](#_Toc9590859)

[8.3 HEALTHCARE FACILITIES 31](#_Toc9590860)

[8.4 HEALTHCARE PROFESSIONS 34](#_Toc9590861)

[8.5 FOOD AND PRODUCT CERTIFYING 40](#_Toc9590862)

[8.6 RADIATION FACILITY AND PROFESSIONAL LICENSING 41](#_Toc9590863)

[8.7 SHELLFISH OPERATIONS 44](#_Toc9590864)

[8.8 WASTEWATER FACILITIES 46](#_Toc9590865)

[8.9 WATER RECREATION FACILITIES 47](#_Toc9590866)

[8.10 COMPLAINT AND DISCIPLINARY PROCESS 48](#_Toc9590867)

[9. DATA AND STATISTICAL REPORTS 50](#_Toc9590868)

[9.1 DEATH WITH DIGNITY ACT 50](#_Toc9590869)

[9.2 HEALTH-RELATED STATISTICS 51](#_Toc9590870)

[9.3 TOBACCO RETAILER COMPLIANCE STATISTICS 54](#_Toc9590871)

[10. EMERGENCY PREPAREDNESS AND RESPONSE 55](#_Toc9590872)

[11. PUBLIC HEALTH AND HEALTHCARE PROVIDERS 56](#_Toc9590873)

[11.1 EMERGENCY MEDICAL SERVICES (EMS) SYSTEMS 56](#_Toc9590874)

[11.2 HEALTHCARE FACILITIES 57](#_Toc9590875)

[11.3 PHARMACIES 58](#_Toc9590876)

[11.4 PUBLIC HEALTH LABORATORIES 59](#_Toc9590877)

[11.5 PUBLIC HEALTH SYSTEM RESOURCES AND SERVICES 64](#_Toc9590878)

[11.6 RURAL HEALTH 65](#_Toc9590879)

[12. VITAL RECORDS 66](#_Toc9590880)

[Glossary 68](#_Toc9590881)

[INDEXES 71](#_Toc9590882)

1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration not currently covered by the *State Government General Records Retention Schedule.*

*See State Government General Records Retention Schedule for additional records relating to agency management.*

| * 1. EXECUTIVE LEVEL RECORDS   Records relating to the executive level of the agency not currently covered by the State Government General Records Retention Schedule. | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68386  Rev. 1 | ***Agency-Wide Accreditation Files***  Records created or used in development of applications for agency-wide certifications submitted to national accreditation programs. The certification process assists the agency to continually improve its performance and transparency. May include but is not limited to agency plans, policies, procedures, reports, performance measurements, and statistics.  Includes, but is not limited to:   * Public Health Standard Accreditation Files. | **Retain** for 6 years after accreditation  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. RISK MANAGEMENT   Records relating to the identifying and migrating risks to the state government agency including disaster preparedness not currently covered by the State Government General Records Retention Schedule. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68382  Rev. 2 | ***Accidents/Incidents (Hazardous Materials) – Human Exposure***  Records documenting accidents and incidents, occurring on agency property or to agency staff that involve human exposure to potentially hazardous materials.  Includes, but is not limited to:   * Description of accident/incident, response, and investigation; * Personal exposure information, physical examination reports, etc.; * Analyses of medical or exposure records (WAC 296-802-20015); * Other records as specified (or excluded) in WAC 296-802-20010.   Hazardous materials include, but are not limited to:   * Toxic substances or harmful physical agents as defined by CFR 1910.1020(c)(13); * Hazardous materials as defined by RCW 70.136.020; * Dangerous waste, extremely dangerous waste, hazardous substances or hazardous waste as defined by RCW 70.105.010; and * Pesticides as defined by RCW 15.58.030.   Excludes records of exposure of agency employees (includes contractors and volunteers) covered by *Employee Medical and Exposure Records (DAN GS 03039).*  *Note: There is no limitation of action on the agency’s liability for the exposure of individuals to hazardous materials.* | **Retain** for 100 years after individual’s date of birth  *or*  30 years after individual’s date of death, whichever is sooner  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 11-02-62429  Rev. 1 | ***Ergonomic Assessment Reports***  Ergonomic assessment reports and affiliated worksheets that document adjustments and recommendations for individual employees' workspace. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 10-02-62203  Rev. 1 | ***Investigator/Inspector Credential Applications – Approved***  Records used for approving and issuing investigator/inspector credentials to agency staff as pursuant to state law. Investigator/inspectors look into violations of laws and regulations, collect evidence in cases in which the agency may be a party of interest, and perform other assignments under agency jurisdiction as per RCW 18.064.050 and 18.130. | **Retain** for 1 year after expiration of credentials  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. ASSET MANAGEMENT

This section covers records relating to the management of the agency’s assets not currently covered by the *State Government General Records Retention Schedule.*

*See State Government General Records Retention Schedule for additional records relating to asset management.*

| * 1. ENVIRONMENTAL MANAGEMENT   *Records relating to the activity of protecting the agency’s managing and monitoring the local government agency’s impact on the environment, including air, soil, and water quality not currently covered by the State Government General Records Retention Schedule.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 97-04-57631  Rev. 2 | ***Hazardous Materials Disposal Records and/or Certificate of Destruction***  Documentation of hazardous materials disposed of by the agency.  *Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.* | **Retain** for 50 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

1. PROGRAM MANAGEMENT

This section covers records relating to the overarching management of a program not currently covered by the State Government General Records Retention Schedule.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
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| 12-12-68383  Rev. 1 | ***Accreditations, Certification and License Documentation for Program Functions and Operations***  Includes documentation of any mandatory or voluntary accreditation, certification or licenses for any aspect of a program's functions and/or operations. The certification process assists programs to continually improve their performance and transparency. May include but not limited to program plans, policies, procedures, reports, performance measurements, and statistics. | **Retain** for 6 years after superseded or terminated  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 05-10-60991  Rev. 3 | ***Agreements with Federal Agencies for Program Responsibility/Authority/Primacy***  Records documenting the agency’s agreement to manage or oversee specific responsibilities/authorities/primacy with federal agencies for specific functions/programs. Agreements may cover enforcement, reporting, data-sharing, record-keeping, and program planning requirements. Agreements are reviewed on a cyclical basis and may include subsequent revisions and updates.  Includes, but is not limited to:   * Agreements; * Related correspondence. | **Retain** for 6 years after end of agreement  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

1. HEALTH SERVICES TO YOU AND YOUR FAMILY

This section covers records relating to the activity of improving individual and family health in Washington.

| * 1. CLIENT ASSISTANCE SERVICES   The activity of assisting individuals improve and maintain their health. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 96-09-57022  Rev. 3 | ***Client Files***  Records relating to the provision/authorization of support services needed to improve and maintain an individual’s health. May include the application for eligibility, medical diagnosis, medical disabilities indicators, financial information, doctor identifiers, patient information, medications, and insurance coverage.  Includes, but is not limited to:   * HIV/AIDS Client Files; * Medical Marijuana Authorizations & Recognition Cards. | **Retain** for 6 years after client is deceased or file is inactive  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. INFANTS, CHILDREN, TEENS ASSISTANCE SERVICES   The activity of protecting and improving the health of infants, children, and teens.  See the Public Health Laboratories section for record series related to newborn blood screening. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68424  Rev. 0 | ***Children with Special Needs Tracking Systems***  Systems used to track services provided to children with special health care needs served through local health jurisdictions. Includes patient demographic information. Data collected may also be used for statistical and research purposes.  Includes, but is not limited to:   * Child Health Intake Database. | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 05-04-60848  Rev. 2 | ***Cytogenetic Test Applications***  Applications for individuals within certain poverty guidelines to receive cytogenetic testing paid for by the Department of Health. Applications are received from genetics counselors. | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 05-04-60850  Rev. 3 | ***Newborn Hearing Screening Cards***  Early hearing loss detection, diagnosis and intervention test/screening records.  *Note: See the Public Health Laboratories section for record series related to newborn blood screening.* | **Retain** for 3 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. IMMUNIZATIONS   The activity relating to tracking and promoting the use of immunizations, to protect and improve family and community health. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 03-07-60570  Rev. 2 | ***Immunization Information System Records***  Reports received from healthcare providers documenting vaccinations given to patients. These records are entered into the Washington State Immunization Information System, a statewide, lifetime immunization registry that keeps track of immunization records for people of all ages. These records help ensure that the right vaccines are administered to patients in a timely manner and act as a state resource to protect the public during outbreaks of vaccine-preventable disease. These records are also readily available for individuals to give to schools, child care, camps, colleges, employers, or other entities who may require proof of vaccination. | **Retain** for 75 years after received  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. WOMEN, INFANTS, CHILDREN (WIC) HEALTH AND NUTRITIONAL SERVICES   The activity relating to improving the health and nutrition status of pregnant women, new mothers, infants, and children under five. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 06-09-61305  Rev. 2 | ***WIC Interstate Dual Participation Monthly Reports***  Reports generated monthly using shared data from the Oregon, Idaho and Washington WIC Programs. These reports are federally mandated and used to track potential misuse of WIC services. | **Retain** for 3 years after date of submission  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 01-01-60018  Rev. 2 | ***WIC Retailer Files***  Records relating to authorized WIC retailers. May include contacts, applications, food price lists, correspondence, closed investigation results, corrective action plans, check error issues and resolutions, complaints, onsite monitoring, compliance, and pre-authorization reports. | **Retain** for 6 years after termination or expiration of contract  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 95-11-56227  Rev. 1 | ***WIC Retailer Investigations***  Documents investigations of complaints received regarding authorized WIC retailers and state initiated investigations regarding authorized WIC retailers. | **Retain** for 6 years after case closed  then  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. ILLNESS AND DISEASE

This section covers records relating to the preventing, tracking, and investigating illness and disease in Washington, and to providing services to those with certain illnesses and diseases.

| * 1. ANIMAL IMPORTATION   The activity relating to monitoring of animal importation to prevent the spread of disease. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68385  Rev. 1 | ***Animal Importation Documents***  Records related to the importation of certain animals into Washington to ensure they pose no hazard to public health, including dogs imported into Washington from outside the United Statesand bats imported into Washington from other states. | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. INVESTIGATIONS   The activity of investigating illness and disease. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 03-10-60572  Rev. 2 | ***Communicable Disease Outbreak Investigations***  Investigations and reports of unusual communicable disease outbreaks that involve large numbers of people, deaths, and new or unknown causes. Used for research and for comparative studies in the event of similar future outbreaks. | **Retain** for 10 years after case closed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 95-06-55118  Rev. 2 | ***Foodborne Illness Investigations***  Records relating to foodborne illness investigations. May include copies of lab results, copies of epidemiology, hazard analysis critical control points, reports, correspondence, and questionnaires. | **Retain** for 6 years after case closed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 94-08-54053  Rev. 3 | ***Pesticide Exposure Investigations – All Other Investigations***  Records related to pesticide related illness investigations. May include medical records, referrals from various agencies, correspondence, incident reports, records of conversations, Labor and Industry claim forms, and pesticide incident summary reports. | **Retain** for 6 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68401  Rev. 1 | ***Pesticide Exposure Investigations – Historically Significant Investigations***  Records related to pesticide related illness investigations that *are unusual, result in death, involve the use of new or illegal products, are of public interest, or that involve a relatively large number of affected people*. May include medical records, referrals from various agencies, correspondence, incident reports, records of conversations, Labor and Industry claim forms, and pesticide incident summary reports. | **Retain** for 6 years after case closed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 13-12-68478  Rev. 0 | ***Shellfish Illness Investigation Summary Records***  Summary records of shellfish related illnesses such as Vibrio Parahaemolyticus (Vp)and Norovirus.  Includes, but is not limited to:   * Shellfish Illness Log. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 09-03-61966  Rev. 2 | ***Shellfish Illness Investigations, Studies, Research Projects***  Investigations of shellfish related illnesses such as Vibrio Parahaemolyticus (Vp)and Norovirus. May include documents such as minutes and agendas, surveys, samples, investigation files, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports. Used to improve public health and safety and identify shellfish illness trends.  *Note: Vibrio Parahaemolyticus Outbreak Investigations are required by WAC 246-282-006.* | **Retain** for 30 years after end of project or investigation  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68423  Rev. 1 | ***Waterborne Disease Outbreak Investigations***  Records relating to waterborne disease outbreak investigations. May include lab results, photographs, interviews, correspondence, and reports. Used for developing training events, research, and for comparative studies in the event of similar future outbreaks. | **Retain** for 6 years after case closed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 06-05-61159  Rev. 2 | ***Zoonotic Disease Case Investigations***  Records related to zoonotic or vector-borne disease investigations. May include correspondence, copies of reports collected by local health department officials, records of conversations, photographs, maps, lab and testing results, and case summaries. | **Retain** for 6 years after case closed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

| * 1. NOTIFIABLE CONDITIONS   The activity of tracking illness and disease.  See the HIV/AIDS Assistance Services section for records related to provision of services to those with HIV/AIDS. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 11-04-62432  Rev. 1 | ***Healthcare Associated Infection Reporting Validation Records***  Records related to annual agency verification of hospital compliance to ensure reliable and accurate healthcare associated infection reporting. RCW 43.70.056 requires hospitals to supply data on healthcare associated infections used by the agency to produce reports of infection rates. | **Retain** for 6 years after sent  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68400  Rev. 1 | ***Notifiable Conditions Reports and Forms***  Reports and forms used to collect, analyze, and disseminate notifiable conditions information to identify disease trends, including emerging infections, and contain information. In compliance with confidentiality laws and requirements, these reports and forms may also contain personally identifiable information that may be used to track services provided to those with these conditions.  Excludes reports and forms covered by *Client Files (DAN 96-09-57022)*. | **Retain** for 6 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 06-01-61093  Rev. 2 | ***Notifiable Conditions Systems***  Systems used to collect, analyze, and disseminate notifiable conditions information to identify disease trends, including emerging infections. In compliance with confidentiality laws and requirements, these systems may also contain personally identifiable information that may be used to track services provided to those with these conditions. Notifiable conditions are selected diseases or conditions which health care providers, health care facilities, laboratories, veterinarians, food service establishments, child day care facilities, and schools are legally required by WAC 246.101 to report to public health authorities. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. PUBLIC HEALTH RISK NOTIFICATIONS   The activity of notifying the public of health risks. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68404  Rev. 2 | ***Public Health Risk Notifications***  Notifications of Public Health Risks issued.  Includes, but is not limited to:   * Product Recall Files including food and shellfish; * Commercial Shellfish Biotoxin Closure Logs; * Biotoxin Bulletins; * Notifications issued by the Secretary of Health. | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. PUBLIC HEALTH ASSESSMENTS, STUDIES, RESEARCH PROJECTS

This section covers records related to the study, investigation, and research of public health-related issues **where not covered by a more specific series**.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 80-12-26521  Rev. 3 | ***Public Health Assessments, Studies, Research Projects***  Assessments, studies and research projects addressing public health issues **where not covered by a more specific series**. May include documents such as minutes and agendas, surveys, samples, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports.  Includes, but is not limited to:   * Community Health Systems Assessments, Studies, Research Projects   Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by *Studies (Major) – Final Reports (Unpublished) (GS 10016)*. | **Retain** for 6 years after end of project  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |

1. ENVIRONMENTAL HEALTH

This section covers records related to the study, investigation, and prevention of environmental health-related issues.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
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| 12-12-68394  Rev. 1 | ***Environmental Health Assessments, Studies, Research Projects***  Investigations examining the relationship between environmental contamination and human exposure and health effects. May focus on environmental and chemical contaminants at specific sites or communities. May include documents such as minutes and agendas, surveys, samples, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports.  Includes, but is not limited to:   * Health Site Assessment and Investigation Files; * Disease Cluster Investigations.   Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by *Studies (Major) – Final Reports (Unpublished) (GS 10016)*. | **Retain** for 6 years after end of project  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 96-06-56878  Rev. 3 | ***Environmental Radiation Projects***  Studies of environmental radiation issues not necessarily related to a site. May include surveys, reports, correspondence, lab results, and final reports.  Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by *Studies (Major) – Final Reports (Unpublished) (GS 10016)*. | **Retain** for 50 years after project completed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 96-06-56872  Rev. 2 | ***Environmental Radiation Sampling Records***  Records related to measuring levels of radiation in the air, water, soils foods and other media. Includes chain of custody documents, correspondence, data sheets, and test results. | **Retain** for 50 years after case sample received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 96-06-56877  Rev. 1 | ***Environmental Radiation Site Monitoring and Assessment Files***  Documents compliance monitoring conducted at facilities which have radioactive material and have the potential to release radioactive material to the environment. Includes investigations and risk assessments which document the impact on health issues and any effects to the environment. | **Retain** for 50 years after site closed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 97-02-57499  Rev. 2 | ***Shellfish Growing Area Files***  Records used to classify shellfish growing areas. Includes sanitary survey reports describing sanitary conditions of a shellfish growing area, shoreline surveys, triennial and annual reviews, water quality data, information on the physical characteristics of an area, reclassifications, conditionally approved area management plans, wastewater treatment plant and marina evaluations, special studies, and correspondence. | **Retain** for 20 years after new survey completed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 97-02-57501  Rev. 4 | ***Water Bacteriology Data Sheets (a.k.a. Water Data Sheets)***  Laboratory raw data results of water samples that are tested for fecal coliform levels. Data results are used to classify commercial and recreational shellfish growing areas. Data sheets may also include hand-written details of weather events, and human and wildlife activities. These results are used to establish long-term water quality trends in shellfish growing areas. | **Retain** for 20 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. LICENSES, PERMITS, CREDENTIALS

This section covers records relating to the credentialing of facilities and individuals and the regulating of licensed facilities and individuals.

| * 1. RECORD SERIES COMMON TO ALL LICENSING, PERMITTING, CERTIFYING AND INSPECTING   The activity relating to the credentialing of facilities and individuals. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 19-06-69378  Rev. 0 | ***Alcohol and Drug Program Certification Files***  Provides documentation for the certification of chemical dependency treatment programs under WAC 388-805 by the division.  *Note: Replaces DAN 81-04-27408 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of month  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 12-12-68393  Rev. 1 | ***Engineering/Planning Project Files – Disapproved/Withdrawn***  Records relating to disapproved or withdrawn applications for engineering project/planning project files and **where not covered by a more specific series**.  Includes, but is not limited to:   * Wastewater System Facility Files – Disapproved/Withdrawn; * Drinking Water System Engineering and Planning Project Files – Disapproved/Withdrawn. | **Retain** until disapproved or withdrawn and no longer needed for administrative purposes  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68399  Rev. 0 | ***License, Permit, Product Review, and Credential Applications – Disapproved/Withdrawn***  Records relating to disapproved or withdrawn applications for licenses, permits, product reviews, and credentials, and where not covered by a more specific series.  Excludes disapproved or withdrawn applications for:   * Pharmacy firms licenses covered by *Pharmacy Firms License Applications – Incomplete/Closed (DAN 94-02-53598)*; * Healthcare Professional Credentials covered by *Healthcare Professional Credential Applications – Incomplete/Rejected/Failed (DAN 92-06-50589)*. | **Retain** for 1 year after disapproved or withdrawn  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 08-08-61830  Rev. 3 | ***Facility Inspection Reports***  Records relating to the inspection of facilities, **where not covered by a more specific record series**. Facilities are inspected to enforce safety standards. May include inspection reports, supporting documentation, recommendations for improvement, plans of correction, directed plans of correction, progress reports, and any correspondence related to inspections.  Includes, but is not limited to:   * Health Facilities Inspections; * Indoor Air Quality Site Visit Records to schools, state agencies and other facilities. | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. DRINKING WATER FACILITIES AND PROFESSIONALS   The activity relating to licensing and working with licensed drinking water facilities and personnel. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 05-10-61006  Rev. 1 | ***Cross Connection Annual Summary Reports***  Reports received by the agency from water purveyors, on the current status of cross connection control program plans and their implementation, as required by WAC 246-290-490 and RCW 70.119. Cross connections are any actual or potential physical connections between a drinking water system and any other non-potable substance (liquid, solid, or gas) capable of contaminating the drinking water system. | **Retain** for 6 years after date of submission  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68389  Rev. 1 | ***Cultural Review Files***  Records relating to evaluation of the potential effects of capital infrastructure improvement projects on historic properties and cultural resources. May include project review sheets, archaeological surveys, monitoring plans, inadvertent discovery plans, reports, consultation letters, and other correspondence.  Includes, but is not limited to:   * National Historic Preservation Act Section 106 Process Cultural Reviews for Public Water Systems. | **Retain** for 15 years after final determination  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 05-10-61008  Rev. 2 | ***Drinking Water System Alternative Filtration Technology Approvals – Approved***  Records related to the approval of use of alternative filtration technologies in drinking water systems.  *Note: 40 CRF 142.14(a)(4)(ii)(C)(*11*) and (a)(7)(ii)* *requires these records be kept until decision to approve technology is reversed or revised.* | **Retain** until decision is reversed or revised  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 98-04-58376  Rev. 4 | ***Drinking Water System and Operating Permit Fee Statements***  Records received from water purveyors documenting daily reconciliation of payments from all state water systems and refunds of overpayment. Statements are also used to update information on water systems.  Includes, but is not limited to:   * Operating Permits; * Operator Certifications; * System Certifications; * Waiver Payments. | **Retain** for 6 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68425  Rev. 1 | ***Drinking Water System Data Tracking Systems***  Systems which track information on public drinking water systems. Including review/approval of certain documents submitted to the program, inventory, drinking water sampling data analysis, water conservation reports, consumer confidence reports, sanitary surveys, GIS data, cross-connection control data, operator and owner information, enforcement actions, and operating permit data.  Includes, but is not limited to:   * SENTRY database and all linked drinking water databases. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 05-08-60950  Rev. 2 | ***Drinking Water System Engineering and Planning Project Files – Approved***  Records relating to the evaluation of the design, construction, and upgrade of wells, reservoirs, water distribution systems, and treatment facilities for groundwater and surface drinking water systems to ensure they produce safe and reliable drinking water. May include blueprints, specifications, plans, reports, updates/amendments, correspondence, meeting notes, and other related documents contributing to their approval. | **Retain** for 50 years after decommissioning of water source  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 96-10-57104  Rev. 6 | ***Drinking Water System Monitoring Files (a.k.a. Water System Correspondence Files)***  Records relating to monitoring of drinking water systems ensuring facilities continue to produce safe and reliable drinking water. May include correspondence, directives, public notices, complaints, lab results, chemical reports, consumer confidence reports, information from local government agencies, compliance information, violations and enforcement actions. | **Retain** for 50 years after decommissioning of water source  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 05-10-61007  Rev. 2 | ***Drinking Water System Sampling Notifications***  Communications sent to water purveyors informing them of their water sampling requirements per 40CFR141 and WAC 246-290-480. Sample test results are sent to the Department of Health by water purveyors and certified labs.  *Note: Maintained three years for enforcement purposes.* | **Retain** for 3 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 95-06-55048  Rev. 3 | ***Waterworks Operators Applications – Approved***  Records relating to the certification of drinking water system operators. May include rating forms, class, size, and mandatory operator information. | **Retain** for 6 years after credential inactive  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. HEALTHCARE FACILITIES   The activity relating to licensing and permitting healthcare facilities.  See the Public Health and Healthcare Provider section for the activity of working with Healthcare Facilities and Pharmacies. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 93-06-52573  Rev. 1 | ***Certificate of Need Application Files***  Applications of Certificate of Need regulated entities, providing services or facilities for provision of health care. Files may include Letter of Intent, initial application, screening questions/responses, correspondence, public hearing requests, public comments, decisions with written analysis, and adjudicative/judicial hearing filings, if appealed. | **Retain** for 25 years after decision  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 06-05-61195  Rev. 1 | ***Certificate of Need Facility Files***  Files of certificate of need regulated entities containing historical information about the facility and significant certificate of need actions related to it.  Files may include:   * Determinations of Reviewability; * Decisions with supporting written analysis; * Certificate of Need, if application is approved; * Final adjudicative/judicial decisions, if the agency's decision is appealed; * Changes in ownership information; * Approved service area(s); * Approved bed/station counts and uses. | **Retain** for 75 years after final action  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 19-06-69379  Rev. 0 | ***Closed Patient Chemical Dependency Treatment Record***  Records documenting patient chemical dependency treatment from a closed certified treatment agency.  *Note: The Department of Health is responsible for the records transferred to DOH from closed treatment facilities under 42 CFR Part 2 and HIPAA.*  *Note: Series contains confidential information.*  *Note: Replace DAN 81-04-27408 granted to the Department of Social and Health Services.* | **Retain** for 7 years after certification cancel date  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 70-11-01200  Rev. 6 | ***Construction Review Files***  Records documenting the construction review process. Healthcare facility construction projects are reviewed to verify compliance with minimum standards and encourage best practices – ensuring facilities with safe and healthy physical environments. May include facility blue prints, specifications, completion reports, exemption requests, and plan reviews. | **Retain** for 50 years after review completed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 03-07-60567  Rev. 1 | ***Coordinated Quality Improvement Plans***  Quality improvement plans received from healthcare entities and reviewed by the agency per RCW 43.70.510 and WAC 246-50-001. These plans are designed to improve the quality of health care services and prevent healthcare malpractice. | **Retain** for 6 years after termination of plan  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 00-07-59817  Rev. 3 | ***Facility Credentialing Files***  Documentation about licensing a facility where not covered by a more specific record series. File may include initial application and associated correspondence, waivers, exemptions, variances, change approval, change of ownership and final merger documents. | **Retain** for 10 years after credentialed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 19-06-69381  Rev. 0 | ***Mental Health Program and Facility Review Files***  Provides documentation of program reviews and site visits.  *Note: Replace DAN 81-12-29376 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53597  Rev. 1 | ***Pharmacy Firms License Applications – Approved***  Provides documentation of licensing pharmacies, manufacturers and wholesalers to ensure standards in the practice of pharmacy and patient safety. May include inventories of controlled substances and distribution of prescriptions. | **Retain** for 60 years after credentialed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53598  Rev. 1 | ***Pharmacy Firms License Applications – Incomplete and Closed***  Provides documentation of firms who have started and never completed the application process. | **Retain** for 6 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. HEALTHCARE PROFESSIONS   The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.  See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 19-06-69380  Rev. 0 | ***Continuing Education Units (CEU) Training Documentation***  Records documenting the behavioral training conducted by 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.*  *Note: Based on DAN 09-11-62153 granted to the Department of Social and Health Services.* | **Retain** for 10 years after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 92-06-50592  Rev. 3 | ***Credential Renewal File Notices***  Documentation of licensees renewing expiring credentials. May include audits of continuing education experience reported by the applicant. | **Retain** until end of renewal cycle  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-08-54000  Rev. 1 | ***Drug Lab Cleanup Credential Applications – Approved***  Records relating to the licensing and certifying of workers, supervisors, contractors, or training providers who decontaminate clandestine drug labs. | **Retain** for 6 years after credentialed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68392  Rev. 1 | ***EMS Training Course Files – Approved***  Department of Health approves all initial EMS training courses that are taught by EMS Training Programs. The EMS training course applications are reviewed to assure that education standards and instructional guidelines are followed for each course. Records to be maintained include the application, correspondence and course completion rosters. | **Retain** for 7 years after approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 80-12-26515  Rev. 3 | ***EMS Training Program Files – Approved***  Training programs are Department of Health approved organizations that coordinate and conduct initial EMS training courses. A training program is responsible for how initial EMS training is provided to assure quality education. Records to include the application, supporting documents (e.g., student handbook, facility description, equipment), correspondence and performance reporting. | **Retain** for 15 years after approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53608  Rev. 1 | ***Healthcare Professional Continuing Education Program Approval Records***  Records documenting those requirements have been met for qualifications as a continuing education course.  *Note: Individual files reflect approval information.* | **Retain** for 2 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 92-06-50588  Rev. 2 | ***Healthcare Professional Credential Applications – Approved***  Records relating to the approval of healthcare professional credential applications by the Department of Health.  Includes, but is not limited to:   * Applications; * Supporting documentation used to determine that credentialing standards have been met (such as academic transcripts, AIDS training, verification of national exams, reference forms, out-of-state verification, work experience documentation, etc.).   Excludes applications and supporting documentation covered by *Healthcare Professional Credential Applications – Imaged Source Records (DAN 13-12-68475)*.  *Note: May contain personal medical information of the applicant.* | **Retain** for 40 years after credentialed  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 13-12-68475  Rev. 0 | ***Healthcare Professional Credential Applications – Imaged Source Records***  Paper-based applications and supporting documents relating to healthcare professional credential applications that have been imaged provided that:   * Source records are imaged in accordance with Washington State Archives’ *Requirements for the Destruction of Non-Archival Paper Records after Imaging*; * Digital images of approved applications are retained in accordance with *Healthcare Professional Credential Applications – Approved (DAN 92-06-50588)*; and * Digital images of incomplete/rejected/failed applications are retained in accordance with *Healthcare Professional Credential Applications – Incomplete/Rejected/ Failed (DAN 92-06-50589)*.   *Note: The “Archival” records series for approved applications was appraised by Washington State Archives in May 2013 and determined that the digital images could be retained in lieu of the paper source records.* | **Retain** until verification of successful conversion  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 92-06-50589  Rev. 3 | ***Healthcare Professional Credential Applications – Incomplete/Rejected/Failed***  Records relating to the disapproval of healthcare professional credential applications by the Department of Health where the applicants submitted an incomplete application, failed their examinations, or did not meet the minimum credentialing requirement.  *Note: May contain personal medical information of the applicant.* | **Retain** for 10 years after disapproval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 15-06-68753  Rev. 1 | ***Healthcare Professional Credential Background Check – History Found***  Results and summaries of background checks of healthcare professional credential applicants where a criminal or non-conviction history is found. Washington State Law (RCW 18.130.064) requires the agency conduct background checks as part of the credentialing process.  Excludes Results of FBI Background Check **where no history is found.** These are covered by *Records Documented as Part of More Formalized Records (GS 50012).* | **Retain** until the decision to approve/disapprove the credential is made and can no longer be appealed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 95-06-55063  Rev. 2 | ***Healthcare Professional Education Provider Accreditation Records***  Documents site visits and accreditation reports. Per RCW 46.01.260 | **Retain** for 10 years after site visit or report completed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 92-06-50590  Rev. 2 | ***Healthcare Professional Examinations***  Provides a record of a professional competency examination completed by an applicant. Examination may be given by the Department of Health. | **Retain** for 25 years after exam taken  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 15-06-68754  Rev. 0 | ***Healthcare Professional Fingerprint Images***  Fingerprint images provided to the agency by healthcare professional credential applicants. These images are used by the Washington State Patrol and FBI to perform background checks on applicants. Washington State Law (RCW 18.130.064) requires the agency conduct background checks as part of the credentialing process. | **Retain** until confirmation of receipt by the Washington State Patrol  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 03-01-60411  Rev. 4 | ***Healthcare Professional Name Change Documents***  Legal documents authorizing credential holders name changes. Must be kept as long as the original application for licensure. | **Retain** for 40 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 03-02-60440  Rev. 1 | ***Pharmacy Preceptor Credential Applications***  Records relating to the credentialing of preceptors. A preceptor is pharmacist who provides practical training and experience to interns. May include application, exam and certificate of continuing education. | **Retain** for 6 years after completed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53609  Rev. 3 | ***Pharmacy Technician Training Programs***  Records documenting the board approval process of programs that pharmacy technicians attend to obtain certification. May include a letter of approval. | **Retain** for 6 years after approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 96-02-56414  Rev. 4 | ***Washington Health Professional Service Compliance Monitoring Files***  A participant is a Health Care Professional with a substance abuse problem. Information retained documents compliance of participants to the programs monitored by law. Includes contract, lab reports, prescription forms, meeting attendance verification cards, work site monitoring monthly reports, yearly tracking system compliance screen, other participant information and graduation letter and/or referred back letter. | **Retain** for 30 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. FOOD AND PRODUCT CERTIFYING   The activity relating to the certifying of food and products for public use. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 96-06-56880  Rev. 3 | ***Food Safety Export Certifications***  Certifies that export food products are free from hazardous health contaminant such as radionuclides or biotoxins.  Include, but are not limited to:   * Radionuclide Free Export Certifications * Commercial Shellfish Export Certifications | **Retain** for 6 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68405  Rev. 2 | ***Product Review Certifications – Approved***  Records documenting the approval of products reviewed by the agency. May includes product descriptions, specifications and designs, testing results, photographs, correspondence, and approval documents.  Products include, but are not limited to:   * Recreational Water Devices; * Wastewater Distribution or Treatment Products and Sewage Tanks; * Wastewater Treatment Alternative Technology.   Excludes the certifying of food as radionuclide free covered under *Food Safety Export Certifications (DAN 96-06-56880)*. | **Retain** for life of product  *then*  **Transfer** to Washington State Archives for permanent retention | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

| * 1. RADIATION FACILITY AND PROFESSIONAL LICENSING   The activity relating to the licensing, monitoring, and regulating of licensed radiation facilities and professionals. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 98-09-58679  Rev. 5 | ***Correspondence – Radiation Protection Program***  Internal and external communications to or from employees (including contractors and volunteers), that are made or received by a radiation protection program that is **not covered by a more specific records series**.  Includes, but is not limited to:   * Internal and external correspondence/communications (regardless of format) relating to the request/agency-initiated advice, assistance or information. * Announcements of changes to rules and regulations.   Excludes correspondence covered by:   * *Public Disclosure/Records Requests (DAN GS 05001);* * *State Publications (DAN GS 15008);* * *Requests for Basic/Routine Agency Information (DAN GS 50002);* * *Radiation Facility Licensing, Registration, and Regulating Files (DAN 12-12-68407);* * *Radioactive Air Emission Facility Licensing, Registration, and Regulating Files (DAN 13-12-68477);* * *Radioactive Waste Related Facility Licensing and Regulating Files (DAN 12-12-68408).*   *Note: Records must be kept six years per Nuclear Regulatory Commission requirements.* | **Retain** for 6 years after communication is sent or received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 98-09-58683  Rev. 3 | ***Equipment Calibration and Testing – Radiation Detection and Measurement***  Records relating to the calibration and/or testing of radiation detection and measurement equipment used for monitoring licensee compliance. | **Retain** for 7 years after calibration and/or testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 98-09-58687  Rev. 2 | ***In Vitro Testing Certifications***  Records related to the issuing of certifications to clinical laboratories using less than 10 micro curies/kit of radioactive material. | **Retain** for 2 years after expiration of certificate  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68407  Rev. 1 | ***Radiation Facility Licensing, Registration, and Regulating Files***  Documentation relating to the licensing, registering, and regulation of a facilities processing or using radioactive materials. May includes applications, licenses, registrations, amendment requests, amendments, billings, correspondence, inspection reports, compliance records, licensee responses, and acknowledgments.  Includes, but is not limited to:   * Facilities using or possessing radioactive materials; * Facilities using x-ray equipment. | **Retain** for 20 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 98-09-58685  Rev. 4 | ***Radiation Safety Officer Files***  Records relating to authority, duties, and responsibilities of office radiation safety officer or his/her delegates, as required by the office’s Radioactive Materials License. Duties may include maintaining staff training records, conducting leak tests, inventorying equipment, surveying the office, maintaining records of radioactive waste disposal records and office audits, and issuing and reviewing personnel radiation dosimeters. | **Retain** for 30 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 13-12-68477  Rev. 0 | ***Radioactive Air Emission Facility Licensing, Registration, and Regulating Files***  Documentation relating to registering and regulating of facilities potentially emitting radioactive materials. May include applications, licenses, registrations, amendment requests, amendments, billings, correspondence, inspection reports, compliance records, licensee responses, and acknowledgments. | **Retain** for 75 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68408  Rev. 1 | ***Radioactive Waste Related Facility Licensing and Regulating Files***  Documentation relating to the regulation of a facility which produces, handles, or disposes of radioactive waste. Includes applications, licenses, amendment requests, amendments, site use permits, general/technical correspondence, inspection reports, compliance reports, waste management files, and closure plans.  Includes, but is not limited to:   * Low Level Radioactive Waste Disposal Facilities; * Radioactive Waste Processing Facilities; * Uranium Milles. | **Retain** for 75 years after close of facility  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. SHELLFISH OPERATIONS   The activity relating to the licensing and regulating of companies that commercially harvest and sell shellfish or of working with marinas or wastewater facilities that may affect shellfish. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 03-07-60554  Rev. 1 | ***Commercial Shellfish Harvest Site Certificate Applications – Approved***  Applications received from licensed commercial shellfish operations to harvest a given site. May include harvest site applications, correspondence, maps of harvest locations, legal descriptions, and lease agreements. | **Retain** for 6 years after inactive  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-02-57470  Rev. 2 | ***Commercial Shellfish Licensing Applications – Approved***  Records relating to the licensing of shellfish growers and harvesters. May include proof of payment, shellfish operating certificate, application, inspection forms, actual layout of the shellfish operation, and correspondence. | **Retain** for 6 years after renewal or inactivity  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 13-12-68474  Rev. 0 | ***Commercial Shellfish Licensing Applications – Summary***  Summary records relating to the licensing of shellfish growers and harvesters.  Including, but not limited to:   * Envision Inspection Database. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 09-03-61698  Rev. 1 | ***Commercial Shellfish New Construction and Equipment Review Files***  Records related to the review of proposed changes to licensed commercial shellfish facilities or equipment, ensuring they are designed to minimize possible contamination of harvested shellfish. These reviews are required per WAC 246-282-070. May include blueprints, designs, equipment installation documents, photographs, correspondence, and agency's review disposition. | **Retain** until superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-02-57476  Rev. 2 | ***Commercial Shellfish Plans of Operation***  Records from licensed commercial shellfish companies detailing how they plan to harvest shellfish. | **Retain** until superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-02-57497  Rev. 3 | ***Tribal Shellfish Harvesting Regulations***  Shellfish regulations issued by tribes with the same standing as a Washington Administrative Code. The agency investigates violations of, and enforces these regulations on behalf of the tribes. | **Retain** for 1 year after expiration  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

| * 1. WASTEWATER FACILITIES   The activity relating to licensing and monitoring of licensed wastewater facilities. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 09-04-62000  Rev. 2 | ***Wastewater System Facility Files – Approved***  Records relating to the evaluation of the design, construction, and upgrade of on-site wastewater and reclaimed water production facilities. May include blueprints, specifications, plans, reports, updates/amendments, correspondence, meeting notes, and other related documents contributing to their approval. | **Retain** for 5 years after close of facility  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 09-04-62004  Rev. 2 | ***Wastewater System Monitoring Files (a.k.a. Wastewater Correspondence Files)***  Records relating to monitoring of on-site wastewater and reclaimed water systems ensuring facilities continue to produce treated effluent that meets standards. May include correspondence, directives, public notices, complaints, hearings, lab results, field surveys, annual reports, compliance information, violations and enforcement actions. | **Retain** for 20 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 95-06-55057  Rev. 3 | ***Wastewater System Waiver Request Records***  Records related to issuance of on-site wastewater system waivers by Local Health Officers. May include correspondence, copies of issued waivers and waiver denials, and reports submitted by Local Health Officers. Waivers to wastewater system regulations may be given in cases where the system’s plans meet the standards and intents of wastewater rules issued by the State Board Health. | **Retain** for 50 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. WATER RECREATION FACILITIES   The activity relating to the permitting and monitoring of permitted water recreation facilities. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68420  Rev. 1 | ***Water Recreation Construction Facility Permits – Approved***  Records relating to the permitting of water recreation facility construction. Includes project application, fee payment records, engineering plans, design specifications, design-variance requests, construction report, and project-related correspondence.  *Note: The agency oversees the construction permitting of water recreational facilities only in those local health jurisdictions that have no water recreational facility permitting programs.* | **Retain** for 50 years after approval  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68421  Rev. 1 | ***Water Recreation Facility Operational Files***  Records relating to monitoring the operations at water recreational facilities. May include operations-related information, documentation of agency actions which may be used in enforcement proceedings, injury and illness outbreak investigations and reports, inspection reports, complaints, and operating permits. These records are used to educate, develop water recreation guidelines, and for enforcement actions. | **Retain** for 10 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. COMPLAINT AND DISCIPLINARY PROCESS   The activity relating to the receiving and investigating of complaints about credentialed facilities and individuals including any disciplinary or enforcement action taken by agency. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 10-05-62197  Rev. 2 | ***Adjudicative Audio Recordings***  Audio recordings of prehearings, status conferences, and hearings of Health Law adjudicative cases before the Health Law Judges, Review Officer, and Health Profession Boards and Commissions. Cases include, but are not limited to, brief adjudicative proceedings; certificate of need, drinking water, shellfish and Women Infant and Children (WIC) appeals; as well as, health profession discipline and transient accommodations cases.  *Note: If a decision is appealed, a transcript of the recordings is made and filed with the original adjudicative clerk file. 3 years is well beyond the point of appeal.* | **Retain** for 3 years after date of recording  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 92-06-50611  Rev. 3 | ***Adjudicative Clerk Files***  These files include all original pleadings and orders filed in a Health Law adjudicative case before the agency’s Health Law Judges, Review Officer, or the Health Profession Boards and Commissions. Orders can include prehearing, final (Finding of Fact, Conclusion of Law and Final Order), post-hearing, and compliance orders. | **Retain** for 75 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 92-06-50603  Rev. 4 | ***Healthcare Complaints/Investigation Files***  Provides a record of original documents pertaining to investigations of complaints of unprofessional conduct or unregulated practice received. | **Retain** for 15 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 07-12-61662  Rev. 2 | ***Compliance/Post-Order Files***  Provides a record of documentation related to requirements outlined in Orders, Disposition and Agreements until the credential conditions have been reinstated, terminated from conditions/probations, released, superseded or closed by the disciplining authority. | **Retain** for 25 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 95-06-55047  Rev. 2 | ***Enforcement Case Files***  Records relating to enforcement actions against entities regulated by the agency, **where not covered by a more specific record series**. May include final orders, penalties and other documents.  Includes, but is not limited to:   * Drinking Water Enforcement Case Files * Commercial Shellfish Enforcement Case Files | **Retain** for 6 years after case closed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. DATA AND STATISTICAL REPORTS

This section covers records relating to the activity of gathering and compiling of statistical information used to protect and improve the health of Washingtonians.

| * 1. DEATH WITH DIGNITY ACT   The activity of gathering, compiling, and reporting statistics related to the Death with Dignity Act. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 10-07-62296  Rev. 2 | ***Death with Dignity Act (DWDA) Records***  Records used for collecting and reporting on DWDA information received from healthcare providers. The department reviews this information for compliance with reporting requirements, contacts the healthcare provider if the information is incomplete or inadequate, and produces an annual statistical report.  Includes, but is not limited to:   * Death with Dignity Act Compliance Forms; * Death with Dignity Act Statistics.   *Note: Per RCW 70.245.150 this information is only to be released as summarized data in an annual statistical report.* | **Retain** for 10 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. HEALTH-RELATED STATISTICS   The activity of gathering and compiling of health-related statistical information. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68391  Rev. 1 | ***Diseases and Chronic Condition Statistics***  Data collected to measure diseases or chronic conditions. This information is used for education, research, developing priorities, and planning actions to improve the health of the people in Washington.  Includes, but is not limited to:   * Washington Adult Health Survey; * Washington State Cancer Registry. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 12-12-68395  Rev. 2 | ***Environmental Health Statistics***  Data collected to document, report, and study health effects to environmental exposures such as pesticides, zoonotic diseases, radiation and drinking water. The data may be used to monitor specific locations that may pose a threat to public health, such as shellfish harvesting beaches and sites with chemical contaminants.This information is used to identify possible health hazards and make recommendations to protect public health. It is also used for research, education, and community outreach.  Includes, but is not limited to:   * Environmental Integration and Exposure Impact Observation System (EIEIO). * Shellfish Geographical Information Systems (GIS) * Water Data Tracking System | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 12-12-68396  Rev. 1 | ***Health Behaviors Statistics***  Data collected to measure the behaviors or activities directly affecting a person's health. This information is used to educate, develop priorities, and plan actions to improve the health behaviors.  Includes, but is not limited to:   * Behavioral Risk Factor Surveillance System Database. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 12-12-68398  Rev. 2 | ***Healthcare Statistics***  Data collected on the emergency medical system, trauma system, pharmacies/dispensers, hospital discharges, hospital financial reports, charity care and adverse events that occur in hospitals. This information describes important elements of healthcare in Washington including data used to evaluate hospital/prehospital care and prescription drug utilization.  Includes, but is not limited to:   * Adverse Events Data; * Comprehensive Hospital Abstract Reporting System (CHARS); * Hospital Financial Data; * Prehospital Registry (WEMSIS); * Prescription Review Data; * Trauma Registry. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 12-12-68415  Rev. 1 | ***Vital Records Statistics***  Statistics compiled from birth, death, fetal death, infant death, abortions, marriage, divorce, and dissolution records for research and statutorily required purposes. | **Retain** for 6 years after no longer needed for agency business  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |

| * 1. TOBACCO RETAILER COMPLIANCE STATISTICS   The activity of gathering, compiling, and reporting statistics of tobacco retailer compliance with state and federal youth tobacco sales laws. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68432  Rev. 0 | ***Tobacco Retailer Compliance Checking Statistics***  Data collected from Tobacco Retailer Compliance Reports received from Local Health Jurisdictions. Does not include the clerk identifier information which is held by the Liquor Control Board. Information is used in creating compliance reports and in evaluating the effectiveness of program activities. | **Retain** for 50 years after entered  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-02-57512  Rev. 3 | ***Tobacco Retailer Compliance Reports – Incoming***  Compliance checking reports received from Local Health Jurisdictions detailing retailer compliance with state and federal youth tobacco sales laws.  ExcludesOutgoing Tobacco Retailer Compliance Reports covered by *Reporting to External Agencies (Mandatory) (DAN GS 19004).* | **Retain** for 3 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. EMERGENCY PREPAREDNESS AND RESPONSE

This section covers records relating to activity of emergency preparedness and response to public health emergencies include acts of bioterrorism and disease outbreaks.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
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| 03-07-60566  Rev. 1 | ***Emergency Response Records***  Records related to agency involvement in state emergency response efforts. | **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 |
| 05-01-60870  Rev. 3 | ***Medical Countermeasures Tracking System Records***  Records and reports tracking product names, quantities, arrival and expiration dates, ship-to locations and related dates and times, of emergency medicines and medical supplies. | **Retain** for 3 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 05-04-60871  Rev. 2 | ***Radioactive Incident Files***  Documentation of responses to radioactive incidents. | **Retain** for 30 years after case closed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

1. PUBLIC HEALTH AND HEALTHCARE PROVIDERS

This section covers records relating to improving the public health by working with the community, healthcare professionals and facilities, local health jurisdictions, and tribal health partners.

| * 1. EMERGENCY MEDICAL SERVICES (EMS) SYSTEMS   The activity of establishing and promoting a system of emergency medical and trauma care services that provides timely and effective delivery of emergency medical treatment for people with acute illness and traumatic injury. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 96-04-56632  Rev. 4 | ***Trauma Service Designation and Emergency Cardiac/Stroke Categorization***  Records designating hospitals and other health care facilities to provide trauma care and cardiac/stroke services. Includes various forms, various proposal and application documents, surveys, score sheets, reports, letters of award of designation status and letters of denial of designation. | **Retain** for 15 years after decision  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. HEALTHCARE FACILITIES   *The activity of working with healthcare facilities to improve quality of care.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68384  Rev. 1 | ***Adverse Event Root Cause Analysis/Corrective Action Plans***  Corrective action plans healthcare facilities are required to submit to the department, per RCW Chapter 70.56, within 45 days of notifying agency of an adverse event. These plans are designed to improve the level of services offered by healthcare facilities. | **Retain** for 15 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68387  Rev. 1 | ***Charity Care Complaints***  Complaints received by the agency from persons denied charity care from hospitals.  *Note: The Department of Health may mediate charity care disputes and refer violations of the law to the Attorney General.* | **Retain** for 1 year after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68388  Rev. 0 | ***Charity Care Policies***  Policies received from hospitals and reviewed by the agency per RCW 70.170.060 and WAC 246-453-070. These policies outline the hospital’s process to provide charity care to all eligible patients. | **Retain** for 2 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PHARMACIES   The activity of working with pharmacies. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 94-02-53606  Rev. 2 | ***Collaborative Drug Therapy Agreements***  Provides documentation outlining an agreement between an authorized prescriber and a pharmacist. These agreements permit pharmacists to prescribe drugs under the authority of the prescriber, as allowed under WAC 246-863-100. The agreements are reviewed by the agency. | **Retain** for 6 years after termination or expiration of agreement  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53619  Rev. 2 | ***Controlled Substance Sample Distribution Reports***  Reports from distributors regarding the distribution of controlled substances. Information includes quantity delivered, drug type, and distributer's name. | **Retain** for 6 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53622  Rev. 1 | ***Drug Loss/Destruction Reports***  Reports of loss or destruction of legend drugs submitted by pharmacists as required by WAC 246-887-020 and federal regulations. The primary copy belongs to the Drug Enforcement Agency. These reports may be used in investigations undertaken by the Department of Health. | **Retain** for 2 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53623  Rev. 2 | ***Schedule V Controlled Substance Register***  Records, from pharmacies, of customers receiving Schedule V drugs without prescription. Includes drug name, requestor information, amount given, initials of dispenser, date and customer's signature. | **Retain** for 2 years after received  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PUBLIC HEALTH LABORATORIES   *The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68390  Rev. 1 | ***Dietary and Adult Hemoglobin Specimen Cards***  Cards which contains lab numbers and donor identifiers. Used for PKU Dietary Monitoring and Adult Hemoglobin disease screening.  *Note: Cards also include actual blood specimens absorbed on them.* | **Retain** for 1 month after screening  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-04-57564  Rev. 2 | ***Newborn Patient Files – Diagnosed Disease Cases***  Contains files of patients confirmed with a clinical disorder. Includes patient demographic and clinical information, documentation of communications and dietary shipment and financial records. | **Retain** for 75 years after screening  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68427  Rev. 0 | ***Newborn Patient Files – Not Screened (a.k.a. Pinkies)***  Tracks responses to follow-up letters for newborn screening of infants not tested. | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 05-11-61056  Rev. 1 | ***Newborn Patient Files – Positive Screening Tests***  Contains files of patients with non-normal screening results. Includes patient’s demographic and clinical information and documentation of communications. | **Retain** for 21 years after screening  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 94-02-53627  Rev. 2 | ***Newborn Screening Birth Provider Compliance Files***  Documents hospital and out-of-hospital birth provider compliance with newborn screening WAC 246-650. May include weekly live birth listings and corresponding test results, copies of follow-up letters generally sent to the child's doctor, statistics tracking compliance, and annual compliance reports. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-04-57579  Rev. 5 | ***Newborn Screening Cards***  Card which contains lab number and child identifiers. Includes refusal cards. Used for disease screening.  *Note: Cards also include actual blood specimens absorbed on them.* | **Retain** for 21 years after screening  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68428  Rev. 0 | ***Newborn Screening Test Records Data Repository***  Data collected from the newborn screening process including, but not limited to, patient demographics and test records. | **Retain** for 21 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68406  Rev. 1 | ***Quality Control and Assurance – Environmental Radiation***  Records relating to quality control programs for environmental radiation testing services enacted to ensure that accurate test results are reported.  Includes, but is not limited to:   * Performance specifications; * Requisitions; * Instrument documentation; * Specimen identification and tracking records.   Excludes laboratory specimens. | **Retain** for 50 years after conclusion of quality control testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 97-04-57566  Rev. 2 | ***Quality Control and Assurance – General***  Records relating to quality control programs for services enacted to ensure that accurate test results are reported.  Includes, but is not limited to:   * Performance specifications; * Requisitions; * Instrument documentation; * Specimen identification and tracking records.   Excludes laboratory specimens.  Excludes quality control and assurance for environmental radiation testing. | **Retain** for 6 years after conclusion of quality control testing  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68410  Rev. 1 | ***Test Procedure Training and Staff Demonstrations of Proficiency***  Records of an employee’s test procedure training history, including their demonstrations of proficiency in using test procedures.  *Note: Retention based on agency need to potentially produce these records in court to validate the accuracy of laboratory test results.* | **Retain** until all test reports created by employee have been dispositioned  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 12-12-68411  Rev. 1 | ***Test Procedures, Method Citations, and Procedure Validation Records – General***  Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105 and where not covered by a more specific series. Includes records and data used to validate the procedures.  *Note: Retention based on agency need to potentially produce these records in court to validate the accuracy of laboratory test results.* | **Retain** until all test reports created by procedure have been dispositioned  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 12-12-68412  Rev. 1 | ***Test Procedures, Method Citations, and Procedure Validation Records – Newborn Screening***  Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105. Includes records and data used to validate the procedures. | **Retain** for 21 years after procedure has been discontinued  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 97-04-57607  Rev. 5 | ***Test Reports – Environmental Radiation***  Reports and results for environmental radiation specimens tested or examined. | **Retain** for 50 years after examination  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 06-01-61089  Rev. 3 | ***Test Reports – General***  Reports and results for specimens tested or examined and where not covered by a more specific series.  Includes, but is not limited to:   * Biotoxin Test Reports; * Drinking Water Bacteriology; * Environmental Chemistry; * Food and Shellfish Bacteriology**;** * Parasitology**;** * Water Bacteriology. | **Retain** for 10 years after examination  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. PUBLIC HEALTH SYSTEM RESOURCES AND SERVICES   *The activity of working with our state’s 35 local health agencies, Tribal health partners, our healthcare system and others to improve the health of Washingtonians.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 99-11-59411  Rev. 1 | ***Community Health Systems Statewide Planning and Implementation Records***  Documents the development and implementation of state plans. Includes EMS and Trauma System, Emergency Cardiac/Stroke System, Rural Health, and Injury and Violence Prevention. | **Retain** for 6 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

| * 1. RURAL HEALTH   *The activity of assisting rural and underserved communities have access to health services.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68397  Rev. 1 | ***Health Professions Data Repository***  Data collected from health profession surveys for use in designating areas with Health Profession Shortages. This information is also used for healthcare research. | **Retain** for 40 years after entered  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68430  Rev. 1 | ***Rural Health and Healthcare Professional Shortage Area Recruitment Records***  Records and data used to match healthcare professionals with rural and underserved communities. Includes files for health professionals in the rural health program. These files may contain applications, employment contracts, attorney forms, J-1 visa waivers and correspondence.  Includes, but is not limited to:   * Recruitment and Retention Intake Data Repository; * J-1 Visa Tracking Data Repository; * J-1 Visa Waiver Healthcare Professional Files. | **Retain** for 6 years after participant inactive  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 12-12-68417  Rev. 1 | ***Volunteer Retired Healthcare Professional Files***  Documents license renewal payments for volunteer medical professionals. May include applications and renewal cards. Records used for budgetary and tracking purposes. | **Retain** for 1 year after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. VITAL RECORDS

This section covers records relating to the activity issuing certified copies of vital records for events occurring within the state of Washington.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
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| 85-08-35851  Rev. 2 | ***Vital Record Indexes***  Indexes to vital records. | **Retain** for 50 years after end of calendar year  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 12-12-68414  Rev. 1 | ***Vital Records***  The **primary copy** of recordsdocumenting vital events in Washington.  Includes, but is not limited to:   * Birth Records; * Delayed Birth Records; * Death Records; * Dissolution of Domestic Partnership Records; * Divorce Records; * Fetal Death Records; * Induced Termination of Pregnancy; * Marriage Records.   *Note: Records are to be maintained permanently per RCW 70.58.005 (6), RCW 26.09.150 and .160, RCW 26.09.150 (2) (a), and RCW 70.58.900.* | **Retain** permanently. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 12-12-68416  Rev. 1 | ***Vital Records Supporting Documentation***  Documents amending or supporting birth, death, marriage, divorce, and dissolution records.  Includes, but is not limited to:   * Adoption, Paternity, and Other Court Ordered Sealed Records; * Affidavits of Correction; * Delayed Birth Certificate Supporting Affidavits.   *Note: Records are to be maintained permanently per RCW 70.58.005 (6), RCW 26.09.150 and .160, RCW 26.09.150 (2) (a), and RCW 70.58.900.* | **Retain** permanently. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |

Glossary

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| ***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.** |

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| ***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.* |

INDEXES

**ARCHIVAL RECORDS INDEX**

*See the State Government General Records Retention Schedule for additional “Archival” records.*

DATA AND STATISTICAL REPORTS

Health-Related Statistics

Diseases and Chronic Condition Statistics 51

Environmental Health Statistics 51

Health Behaviors Statistics 52

Healthcare Statistics 52

Vital Records Statistics 53

EMERGENCY PREPAREDNESS AND RESPONSE

Emergency Response Records 55

Radioactive Incident Files 55

ENVIRONMENTAL HEALTH

Environmental Health Assessments, Studies, Research Projects 23

Environmental Radiation Site Monitoring and Assessment Files 24

Shellfish Growing Area Files 24

ILLNESS AND DISEASE

Investigations

Communicable Disease Outbreak Investigations 17

Foodborne Illness Investigations 17

Pesticide Exposure Investigation Case Files – Historically Significant Cases 18

Shellfish Illness Investigation Summary Records 18

Waterborne Disease Outbreak Investigations 19

Zoonotic Disease Case Investigation Files 19

Notifiable Conditions

Notifiable Conditions Systems 20

LICENSES, PERMITS, CREDENTIALS

Drinking Water Facilities and Professionals

Cultural Review Files 27

Drinking Water System Data Tracking Systems 28

Drinking Water System Engineering and Planning Project Files – Approved 29

Drinking Water System Monitoring Files (a.k.a. Water System Correspondence Files) 29

Healthcare Professions

Healthcare Professional Credential Applications – Approved 36

Product Certifying

Product Review Certifications – Approved 40

Radiation Facility and Professional Licensing and Radionuclide Free Food Certifying

Radioactive Waste Related Facility Licensing and Regulating Files 43

Shellfish Operations

Commercial Shellfish Licensing Applications – Summary 44

Tribal Shellfish Harvesting Regulations 45

Wastewater Facilities

Wastewater System Facility Files - Approved 46

PROGRAM MANAGEMENT

Agreements with Federal Agencies for Program Responsibility/Authority/

Primacy 11

PUBLIC HEALTH ASSESSMENTS, STUDIES, RESEARCH PROJECTS

Public Health Assessments, Studies, Research Projects 22

VITAL RECORDS

Vital Record Indexes 66

Vital Records 66

Vital Records Supporting Documentation 67

**ESSENTIAL RECORDS INDEX**

*See the State Government General Records Retention Schedule for additional “Essential” records.*

AGENCY MANAGEMENT

Risk Management

Accidents/Incidents (Hazardous Materials) – Human Exposure 8

ASSEST MANAGEMENT

Enviromental Management

Hazardous Materials Disposal Records and/or Certificate of Destruction 10

EMERGENCY PREPAREDNESS AND RESPONSE

Medical Countermeasures Tracking System Records 55

Radioactive Incident Files 55

ENVIRONMENTAL HEALTH

Shellfish Growing Area Files 24

HEALTH SERVICES TO YOU AND YOUR FAMILY

Client Assistance Services

Client Files 12

Immunizations

Immunization Information System Records 14

ILLNESS AND DISEASE

Notifiable Conditions

Notifiable Conditions Systems 20

LICENSES, PERMITS, CREDENTIALS

Complaint and Disciplinary Process

Adjudicative Clerk Files 48

Complaints/Investigation Files – Action Taken 48

Compliance/Post-Order Files 49

Drinking Water Facilities and Professionals

Drinking Water System Data Tracking Systems 28

Healthcare Professions

Healthcare Professional Credential Applications – Approved 36

Radiation Facility and Professional Licensing and Radionuclide Free Food Certifying

Radioactive Waste Related Facility Licensing and Regulating Files 43

Records Series Common to All Licensing, Permitting, Certifying and Inspecting

Alcohol Drug Program Certification Files 25

PROGRAM MANAGEMENT

Accreditations, Certification and License Documentation for Program

Functions and Operations 11

Agreements with Federal Agencies for Program Responsibility/Authority/

Primacy 11

PUBLIC HEALTH AND HEALTHCARE PROVIDERS

Public Health Laboratories

Test Procedure Training and Staff Demonstrations of Proficiency 62

Test Procedures, Method Citations, and Procedure Validation Records - General 62

Test Procedures, Method Citations, and Procedure Validation Records – Newborn Screening 62

VITAL RECORDS

Vital Records 66

DISPOSITION AUTHORITY NUMBERS (dan’s) INDEX

00-07-59817 33

01-01-60018 15

03-01-60411 39

03-02-60440 39

03-07-60554 44

03-07-60566 55

03-07-60567 32

03-07-60570 14

03-10-60572 17

05-01-60870 55

05-04-60848 13

05-04-60850 13

05-04-60871 55

05-08-60950 29

05-10-60991 11

05-10-61006 27

05-10-61007 29

05-10-61008 27

05-11-61056 59

06-01-61089 63

06-01-61093 20

06-05-61159 19

06-05-61195 31

06-09-61305 15

07-12-61662 49

08-08-61830 26

09-03-61698 44

09-03-61966 18

09-04-62000 46

09-04-62004 46

10-02-62203 9

10-05-62197 48

10-07-62296 50

11-02-62429 9

11-04-62432 20

12-12-68382 8

12-12-68383 11

12-12-68384 57

12-12-68385 16

12-12-68386 7

12-12-68387 57

12-12-68388 57

12-12-68389 27

12-12-68390 59

12-12-68391 51

12-12-68392 35

12-12-68393 25

12-12-68394 23

12-12-68395 51

12-12-68396 52

12-12-68397 65

12-12-68398 52

12-12-68399 26

12-12-68400 20

12-12-68401 18

12-12-68404 21

12-12-68405 40

12-12-68406 61

12-12-68407 42

12-12-68408 43

12-12-68410 62

12-12-68411 62

12-12-68412 62

12-12-68414 66

12-12-68415 53

12-12-68416 67

12-12-68417 65

12-12-68420 47

12-12-68421 47

12-12-68423 19

12-12-68424 13

12-12-68425 28

12-12-68427 59

12-12-68428 60

12-12-68430 65

12-12-68432 54

13-12-68474 44

13-12-68475 37

13-12-68477 43

13-12-68478 18

15-06-68753 38

15-06-68754 38

19-06-69378 25

19-06-69379 32

19-06-69380 34

19-06-69381 33

70-11-01200 32

80-12-26515 35

80-12-26521 22

85-08-35851 66

92-06-50588 36

92-06-50589 37

92-06-50590 38

92-06-50592 34

92-06-50603 48

92-06-50611 48

93-06-52573 31

94-02-53597 33

94-02-53598 33

94-02-53606 58

94-02-53608 35

94-02-53609 39

94-02-53619 58

94-02-53622 58

94-02-53623 58

94-02-53627 60

94-08-54000 34

94-08-54053 17

95-06-55047 49

95-06-55048 30

95-06-55057 46

95-06-55063 38

95-06-55118 17

95-11-56227 15

96-02-56414 39

96-04-56632 56

96-06-56872 24

96-06-56877 24

96-06-56878 23

96-06-56880 40

96-09-57022 12

96-10-57104 29

97-02-57470 44

97-02-57476 45

97-02-57497 45

97-02-57499 24

97-02-57501 24

97-02-57512 54

97-04-57564 59

97-04-57566 61

97-04-57579 60

97-04-57607 62

97-04-57631 10

98-04-58376 28

98-09-58679 41

98-09-58683 41

98-09-58685 42

98-09-58687 42

99-11-59411 64

Subject INDEX

*Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.*

A

accidents/incidents

hazardous materials 8

not involving hazardous materials *see SGGRRS*

accreditations

agency-wide 7

healthcare professional education providers 38

program level 11

adjudicative audio recordings 48

adjudicative clerk files 48

adult hemoglobin specimen cards 59

adverse event reports 57

air emissions (radioactive) facility files 43

alcohol program certifications 25

animal importation documents 16

audits *see SGGRRS*

B

background checks 38

backups *see SGGRRS*

bat importation documents 16

Behavioral Risk Factor Surveillance System 52

bids (contracts) *see SGGRRS*

bills (legislation) *see SGGRRS*

biotoxins

bulletins 21

commercial closure log 21

test reports 63

birth records 66

budgets *see SGGRRS*

C

Cancer Registry 51

certificate of need

application files 31

facility files 31

charity care

complaints 57

policies 57

CHARS 52

chemical dependency treatments

patient records (closed agencies) 32

program certification 25

children with special needs tracking systems 13

chronic condition statistics 51

collaborative drug therapy agreements 58

communicable disease outbreak investigations 17

community health

planning and implementation records 64

complaints *see SGGRRS*

complaints (healthcare facilities) 48

complaints (healthcare professionals) 48

compliance/post-order files 49

Comprehensive Hospital Abstract Reporting System 52

construction review files 32

consumer confidence reports 28

continuing education program approvals (healthcare professionals) 35

continuing education units (CEU) 34

contracts *see SGGRRS*

controlled substance sample distribution reports 58

coordinated quality improvement plans 32

correspondence

executive *see SGGRRS*

general *see SGGRRS*

program *see SGGRRS*

radiation protection program 41

credential renewal notices (healthcare professionals) 34

cross connection annual summary reports 27

cross connection control data 28

cultural review files 27

cytogenetic testing applications 13

D

data sharing agreements *see SGGRRS*

death records 66

*Death with Dignity Act*

*compliance forms* 50

delayed birth records 66

dietary disease specimen cards 59

disease cluster investigations 23

disease statistics 51

divorce records 66

dog importation documents 16

domestic partnership records 66

drinking water systems

bacteriology laboratory test results 63

consumer confidence reports 28

cross connection annual summary reports 27

cross connection control data 28

cultural review files 27

data tracking systems 28

enforcement action tracking 28

enforcement case files 49

engineering/planning project files – approved 29

engineering/planning project files –disapproved/withdrawn 25

operating permit data 28

operating permit fee statements 28

primacy records 11

sampling notifications 29

sanitary surveys 28

water conservation reports 28

waterworks operator applications-approved 30

drug lab cleanup credential applications 34

drug loss/destruction reports 58

drug program certifications 25

E

emergency cardiac/stroke catergorization 56

emergency response

incident (radioactive ) records 55

incident records 55

medical supply records 55

EMS training course files - approved 35

EMS training program files - approved 35

engineering/planning project files – disapproved/withdrawn 25

environmental chemistry laboratory test results 63

environmental health

assessments, studies, research projects 23

statistics 51

environmental radiation

laboratory test results 62

projects 23

sampling records 24

site monitoring and assessment files 24

testing quality control and assurance 61

equipment calibration and testing (radiation protection) 41

ergonomic assessment reports 9

examinations (healthcare professionals) 38

F

facilities (agency) *see SGGRRS*

facility credentialing file 33

facility inspection reports 26

fetal death records 66

financial reports *see SGGRRS*

fingerprint images 38

fleet *see SGGRRS*

food recall files 21

food safety export certifications 40

foodborne illness investigations 17

foodborne illness laboratory test results 63

G

grants *see SGGRRS*

grievances *see SGGRRS*

H

hazardous materials

accidents/incidents 8

health behavior statistics 52

health professions data repository 65

health professions shortage surveys 65

health site assessment and investigation files 23

healthcare associated infections 20

healthcare facilities

adverse event reports 57

certificate of need application files 31

certificate of need facility files 31

charity care complaints 57

charity care policies 57

complaints/investigations 48

construction review files 32

coordinated quality improvement plans 32

emergency cardiac/stroke catergorization 56

facility credentialing file 33

facility inspection reports 26

pharmacy license applications-approved 33

pharmacy license applications-incomplete/closed 33

trauma care service designation 56

healthcare professional education provider accreditations 38

healthcare professionals

background checks 38

complaints/investigations 48

compliance monitoring files 39

continuing education program approvals 35

credential applications – approved 36

credential applications – imaged source records 37

credential applications – incomplete/rejected/failed 37

drug lab cleanup credential applications 34

EMS training course files - approved 35

EMS training program files - approved 35

examinations 38

fingerprint images 38

J-1 visa waiver files 65

name changes 39

pharmacy preceptor credential applications 39

pharmacy technician training programs 39

renewal notices 34

volunteer retired healthcare professional files 65

hearings (adjudicative audio recordings) 48

HIV/AIDS client files 12

human resources *see SGGRRS*

I

immunization information system records 14

in vitro testing certifications 42

indoor air quality site visit records 26

induced termination of pregnancy 66

information systems *see SGGRRS*

investigations

communicable disease outbreak 17

foodborne illness 17

healthcare facilities 48

healthcare professionals 48

pesticide exposure (historic) 18

pesticide exposure (other) 17

shellfish illness files 18

shellfish illness logs 18

site assessments 23

waterborne disease outbreak 19

WIC retailer investigations 15

zoonotic disease 19

investigator/inspector credential applications 9

J

J-1 visa waivers

healthcare professional files 65

tracking data repository 65

L

leases *see SGGRRS*

leave *see SGGRRS*

licenses (healthcare professionals) *see healthcare professionals*

low level radioactive waste facility files 43

M

marriage records 66

medical countermeasures tracking system records 55

medical marijuana authorizations & recognition cards 12

meetings *see SGGRRS*

mental health (program/facility reviews) 33

minutes *see SGGRRS*

motor vehicles *see SGGRRS*

N

name changes (healthcare professionals) 39

newborn screening

birth provider compliance 60

diagnosed disease patient files 59

not screened patient files 59

positive screening patient files 59

quality control and assurance 61

screening cards 60

test procedures 62

testing results data repository 60

newborn-hearing screening cards 13

norovirus 18

notifiable conditions

reports and forms 20

systems 20

O

orders (adjudicative) 48

P

parasitology laboratory test results 63

payroll *see SGGRRS*

personnel *see SGGRRS*

pesticide exposure investigations

(historic) 18

(other) 17

pesticide exposure statistics 51

pharmacies

collaborative drug therapy agreements 58

controlled substance sample distribution reports 58

drug loss/destruction reports 58

license applications-approved 33

license applications-incomplete/closed 33

preceptor credential applications 39

schedule v controlled substance registers 58

technician training programs 39

plans (drawings) *see SGGRRS*

plans/planning

community health systems 64

executive/agency-wide *see SGGRRS*

general/routine operations *see SGGRRS*

policies and procedures

charity care 57

other *see SGGRRS*

preceptor credential applications 39

prescription review data 52

product recall files 21

product review certifications - approved 40

product review certifications – disapproved/withdrawn 26

program primacy records 11

public disclosure *see SGGRRS*

public health

assessments, studies, research projects 22

public health standard accreditation files 7

public records requests *see SGGRRS*

purchasing *see SGGRRS*

R

radiation protection

environmental see environmental radiation

equipment calibration and testing 41

in vitro testing certifications 42

incident response records 55

low level radioactive waste disposal facility files 43

program correspondence 41

radioactive air emissions facility files 43

radioactive materials facility files 42

radioactive waste processing facility files 43

radionuclide free export certification files 40

safety officer files 42

uranium milles files 43

x-ray equipment facilities 42

recall files 21

records management *see SGGRRS*

recreational water device product approvals 40

recruitment and retention intake data repository

healthcare professional files 65

renewal notices (healthcare professional credentials) 34

reports

consumer confidence 28

healthcare associated infections 20

water conservation 28

WIC interstate dual participation monthly reports 15

research projects 22

environmental health 23

shellfish illness 18

rules

WAC (Washington Administrative Code) *see SGGRRS*

S

sanitary surveys (drinking water systems) 28

sanitary surveys (shellfish) 24

schedule v controlled substance registers 58

Section 106 Cultural Reviews 27

SENTRY 28

shellfish

biotoxin bulletins 21

commercial biotoxin closure log 21

commercial export list 40

commercial harvest site applications - approved 44

commercial licensing applications - approved 44

commercial licensing applications - summary 44

commercial new construction and equipment review 44

commercial plans of operation 45

enforcement case files 49

geographical information systems 51

growing area files 24

illness investigation files 18

illness investigation logs 18

laboratory test results 63

marine closure zone evaluations 24

recall files 21

sanitary surveys 24

tribal harvesting regulations 45

wastewater treatment plant evaluations 24

water bacteriology data sheets 24

water data tracking system 51

site assessments

environmental health 23

environmental radiation 24

statistics

children with special needs 13

diseases and chronic conditions 51

environmental health behavior 51

health behavior 52

pesticide exposure 51

tobacco retailer compliance 54

vital records 53

studies 22

environmental health 23

environmental radiation 23

shellfish illness 18

T

test procedures (laboratories)

general 62

newborn screening 62

training and staff proficiency 62

test results (laboratories)

drinking water bacteriology 63

environmental chemistry 63

environmental radiation 62

food 63

general 63

parasitology 63

shellfish 63

water bacteriology 63

timesheets *see SGGRRS*

tobacco retailers

compliance checking statistics 54

compliance reports - incoming 54

tort claims *see SGGRRS*

training *see SGGRRS*

continuing education documentation 34

staff proficiency of laboratory test procedures 62

trauma care service designation 56

trauma registry 52

travel *see SGGRRS*

tribal harvesting regulations 45

U

uranium milles files 43

V

vehicles *see SGGRRS*

vibrio-parahaemolyticus 18

vital records

indexes 66

statistics 53

supporting documentation 67

vital records 66

volunteer retired healthcare professional files 65

W

WAC (Washington Administrative Code) *see SGGRRS*

Washington Adult Health Survey 51

washington health professional service compliance monitoring files 39

wastewater

alternative treatment technology approvals 40

correspondence files 46

distribution and treatment product approvals 40

system facility files - approved 46

system facility files – disapproved/withdrawn 25

system monitoring files 46

system waiver requests 46

water bacteriology data sheets 24

water bacteriology test results 63

water conservation reports 28

water data tracking system 51

water recreation

construction facility permits - approved 47

facility operational files 47

waterborne disease outbreak investigations 19

waterworks operator applications-approved 30

WEMSIS 52

Women, Infants, Children (WIC)

interstate dual participation monthly reports 15

retailer files 15

retailer investigations 15

X

x-ray equipment facility files 42

Z

zoonotic disease investigations 19