**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 designated 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 December 2, 2020.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Al Rose** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Suzanne Becker** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***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. |
| 1.5 | December 2, 2020 | Consolidation of disposition authorities not in use or no longer needed. Revision of the Death with Dignity Act records.  |

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

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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** |
| 12-12-68386Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68382Rev. 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 |
| 11-02-62429Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 10-02-62203Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 97-04-57631Rev. 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** |
| --- | --- | --- | --- |
| 12-12-68383Rev. 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 |
| 05-10-60991Rev. 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 96-09-57022Rev. 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68424Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 05-04-60848Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 05-04-60850Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 1. IMMUNIZATIONS

The activity relating to tracking and promoting the use of immunizations, to protect and improve family and community health. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 03-07-60570Rev. 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 06-09-61305Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 01-01-60018Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 95-11-56227Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68385Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 03-10-60572Rev. 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-ESSENTIALOPR |
| 95-06-55118Rev. 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-ESSENTIALOPR |
| 94-08-54053Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68401Rev. 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-ESSENTIALOPR |
| 13-12-68478Rev. 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-ESSENTIALOPR |
| 09-03-61966Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68423Rev. 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-ESSENTIALOPR |
| 06-05-61159Rev. 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-ESSENTIALOPR |

| * 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-04-62432Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68400Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 06-01-61093Rev. 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68404Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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** |
| --- | --- | --- | --- |
| 80-12-26521Rev. 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-ESSENTIALOPR |

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** |
| --- | --- | --- | --- |
| 12-12-68394Rev. 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-ESSENTIALOPR |
| 96-06-56878Rev. 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-ESSENTIALOPR |
| 96-06-56872Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 96-06-56877Rev. 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-ESSENTIALOPR |
| 97-02-57499Rev. 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 |
| 97-02-57501Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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** |
| 12-12-68393Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68399Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 08-08-61830Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 05-10-61006Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68389Rev. 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-ESSENTIALOPR |
| 05-10-61008Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 98-04-58376Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68425Rev. 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 |
| 05-08-60950Rev. 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-ESSENTIALOPR |
| 96-10-57104Rev. 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-ESSENTIALOPR |
| 05-10-61007Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 95-06-55048Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 93-06-52573Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 06-05-61195Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 70-11-01200Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 03-07-60567Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 00-07-59817Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53597Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53598Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 92-06-50592Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-08-54000Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68392Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 80-12-26515Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53608Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 92-06-50588Rev. 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 |
| 13-12-68475Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 92-06-50589Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 15-06-68753Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 95-06-55063Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 92-06-50590Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 20-12-69602Rev. 0 | ***Health Care Professional Examinations – Examination Devices***Physical devices created by an applicant during a competency examination.Includes, but is not limited to, dental molds. | **Retain** for 1 year after exam date*then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 15-06-68754Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 03-01-60411Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 03-02-60440Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53609Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 96-02-56414Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 96-06-56880Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68405Rev. 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-ESSENTIALOPR |

| * 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** |
| 98-09-58679Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 98-09-58683Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 98-09-58687Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68407Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 98-09-58685Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 13-12-68477Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68408Rev. 2 | ***Radioactive Waste Related Facility Licensing and Regulating Files***Records relating to the regulation of a facility which produces, handles, or disposes of radioactive waste, such as:* Low Level Radioactive Waste Disposal Facilities;
* Radioactive Waste Processing Facilities;
* Uranium Mills.

Includes, but is not limited to:* Applications;
* Licenses;
* Amendment requests;
* Amendments;
* Site use permits;
* General/technical correspondence;
* Inspection reports;
* Compliance reports;
* Waste management files;
* Closure plans.
 | **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** |
| 03-07-60554Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-02-57470Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 13-12-68474Rev. 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-ESSENTIALOPR |
| 09-03-61698Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-02-57476Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-02-57497Rev. 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-ESSENTIALOPR |

| * 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** |
| 09-04-62000Rev. 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-ESSENTIALOPR |
| 09-04-62004Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 95-06-55057Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 12-12-68420Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68421Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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** |
| 10-05-62197Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 92-06-50611Rev. 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 |
| 92-06-50603Rev. 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 |
| 07-12-61662Rev. 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 |
| 95-06-55047Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 10-07-62296Rev. 3 | ***Death with Dignity Act (DWDA) Compliance***Records documenting the collection of mandatory compliance forms from healthcare providers covering the Death with Dignity Act. Excludes the Death with Dignity Act (DWDA) Annual Statistical Report, covered by *State Publications (DAN GS 15008)*, to be released per RCW 70.245.150 as summarized data. | **Retain** for 3 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. HEALTH-RELATED STATISTICS

The activity of gathering and compiling of health-related statistical information. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68391Rev. 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-ESSENTIALOPR |
| 12-12-68395Rev. 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-ESSENTIALOPR |
| 12-12-68396Rev. 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-ESSENTIALOPR |
| 12-12-68398Rev. 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-ESSENTIALOPR |
| 12-12-68415Rev. 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-ESSENTIALOPR |

| * 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68432Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-02-57512Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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** |
| --- | --- | --- | --- |
| 03-07-60566Rev. 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-ESSENTIALOPR |
| 05-01-60870Rev. 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 |
| 05-04-60871Rev. 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. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 96-04-56632Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 1. HEALTHCARE FACILITIES

*The activity of working with healthcare facilities to improve quality of care.*  |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68384Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68387Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68388Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 1. PHARMACIES

The activity of working with pharmacies. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 94-02-53606Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53619Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53622Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53623Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68390Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-04-57564Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68427Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 05-11-61056Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 94-02-53627Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-04-57579Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68428Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68406Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 97-04-57566Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68410Rev. 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 |
| 12-12-68411Rev. 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 |
| 12-12-68412Rev. 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 |
| 97-04-57607Rev. 5 | ***Test Reports – Environmental Radiation***Reports and results for environmental radiation specimens tested or examined. | **Retain** for 50 years after examination *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 06-01-61089Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 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.*  |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 99-11-59411Rev. 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-ARCHIVALNON-ESSENTIALOPR |

| * 1. RURAL HEALTH

*The activity of assisting rural and underserved communities have access to health services.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 12-12-68397Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68430Rev. 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-ARCHIVALNON-ESSENTIALOPR |
| 12-12-68417Rev. 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-ARCHIVALNON-ESSENTIALOPR |

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** |
| --- | --- | --- | --- |
| 85-08-35851Rev. 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-ESSENTIALOPR |
| 12-12-68414Rev. 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 |
| 12-12-68416Rev. 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-ESSENTIALOPR |

Glossary

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| ***Appraisal***  |
| The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records. |
| ***Archival (Appraisal Required)***  |
| Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met. |
| ***Archival (Permanent Retention)***  |
| Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation. |
| ***Disposition*** |
| Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction. |
| ***Disposition Authority Number (DAN)***  |
| Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series. |
| ***Essential Records*** |
| Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records. |
| ***Non-Archival*** |
| Designation given to public records that do not possess sufficient historical 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 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 not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda. |
| ***OPR (Official Public Records*** |
| Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records. |
| ***Public Records*** |
| Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics. |
| ***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 or a number of different types of documents that are filed together to document a specific function. |
| ***State Records Committee*** |
| Committee established by RCW 40.14.050 to review and approve disposition of state government records. Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management. |

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