**This schedule applies to: Health Care Authority**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Health Care Authority relating to the unique functions of administration and oversight for state health care programs including the Public Employees Benefit Board (PEBB). 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 and 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 and 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 Health Care Authority are revoked. The Health Care Authority must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 6, 2018 to take effect on July 1, 2018.

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| *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the State Auditor:**  **Al Rose** | *--*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Attorney General:**  **Sharon James** | *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 | June 6, 2012 | Consolidation of all existing disposition authorities (with some minor revisions to most records series). | |
| 1.1 | September 5, 2012 | Minor revisions to retention periods of dental program, hospital reimbursement, and hospital settlement records and removing “Archival” designation from Hearings and Appeals. | |
| 1.2 | March 6, 2013 | Addition of one new record series to the Public Employees Benefits Board (PEBB) section. | |
| 1.3 | March 5, 2014 | Minor revisions to the Eligibility Policy and Service Delivery, Health Care Services and Systems and Monitoring sections. | |
| 1.4 | June 4, 2014 | Minor revision to Legacy section re-instating previously discontinued records series which still have records which have not yet met their minimum retention. | |
| 1.5 | December 3, 2014 | Addition of one new record series to the Systems and Monitoring section. | |
| 1.6 | June 6, 2018  (effective July 1, 2018) | Addition new Behavior Health Records section and minor revisions to the Financial Services, Health Care Services and Legal Services sections. | |

For assistance and advice in applying this records retention schedule,

please contact the Health Care Authority’s Records Officer

or Washington State Archives at:

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

**TABLE OF CONTENTS**

[1. BEHAVIORAL HEALTH RECORDS 4](#_Toc515887245)

[2. ELIGIBILITY POLICY AND SERVICE DELIVERY 7](#_Toc515887246)

[3. FINANCIAL SERVICES 8](#_Toc515887247)

[4. HEALTH CARE SERVICES 14](#_Toc515887248)

[5. LEGAL SERVICES 17](#_Toc515887249)

[6. OFFICE OF MEDICAL MANAGEMENT 18](#_Toc515887250)

[7. PUBLIC EMPLOYEES BENEFITS BOARD (PEBB) 21](#_Toc515887251)

[8. SYSTEMS AND MONITORING 23](#_Toc515887252)

[9. LEGACY RECORDS 26](#_Toc515887253)

[GLOSSARY 27](#_Toc515887254)

[INDEXES 30](#_Toc515887255)

1. BEHAVIORAL HEALTH RECORDS

This section covers records relating to chemical dependency and mental health records.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-07-69275  Rev. 0 | ***Background Checks on Applicants for Concealed Weapons Permits and Firearms Dealer's Licenses***  Records on Mental Health background checks on anyone applying for a Concealed Weapons Permit or Firearms Dealer's License as required by RCW 9.41.040 and RCW 71.05.  *Note: Series contains confidential information.*  *Note: Replaces DAN 00-09-59908 granted to the Department of Social and Health Services.* | **Retain** for 5 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 18-07-69276  Rev. 0 | ***Compliance Files***  Records documenting compliance with various state and federal laws. These files support federal audits as well as any litigation.  Includes, but is not limited to:   * Incidents and complaints, corrective action plans; * Prior and current law suits, service provider processes; * Audits and audit findings, and denied claims.   *Note: Series contains confidential information.*  *Note: Replaces DAN 06-01-61063 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-07-69277  Rev. 0 | ***Continuing Education Units (CEU) Training Documentation***  Records documenting the behavioral training conducted by DOH employees and/or private sector trainers provided to participants to gain Continuing Education Units (CEU) in order to acquire or maintain a professional license or certification to provide counseling. These records are retained to document that an attending CEU participant earned their license or certification.  *Note: If training is conducted through a college, the college is required to maintain the completion or certification files.*  *Note: Replaces DAN 09-11-62153 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of month  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-07-69280  Rev. 0 | ***Nursing Facility Resident Mental Health Assessments***  Records documenting resident mental health assessments. Review required by federal Omnibus Reconciliation Act of 1987 (OBRA PASSAR Assessment).  Includes, but is not limited to:   * Level II psychiatric evaluations; * Level II follow-up or significant change evaluation summary information; * Level II invalidation statements, including interrupted evaluation documentation; * Copies of supporting documentation from the medical record.   *Note: Series contains confidential information.*  *Note: Replaces DAN 92-10-51388 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-07-69281  Rev. 0 | **Offender Reentry Community Safety (ORCS) Program Files**  Records documenting case management and programs for services for Offender Reentry Community Safety (ORCS) Program clients.  Includes, but is not limited to:   * Agreements with local mental health centers and regional support networks; * Unfunded medical expenses and chemical dependency treatment; * Housing and employment services.   *Note: RCW 71-24.470 governs this statewide program providing mental health case management services to individuals who have been identified as dangerous to themselves or others including individuals who are developmentally disabled and/or may not be able to care for themselves without protective or well-coordinated community care.*  *Note: Series contains confidential information.*  *Note: Replaced DAN 07-04-61456 granted to the Department of Social and Health Services.* | **Retain** for 8 years after one year (12 months) of no services provided  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |

1. ELIGIBILITY POLICY AND SERVICE DELIVERY

This section covers records relating to policies of eligibility and delivery of services for Medicaid.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 14-03-68496  Rev. 0 | ***Background Check/Applications/Agreements***  Any Documents that the Health Care Authority is assisting with in verifying an Organization/Counseloris qualified to become a Certified Application Counselor Coordinator for the Washington Health Benefit Exchange.  Includes, but not limited to:   * Washington State Patrol (WSP) Background Checks; * Implementation Guidelines; * Certified Application Counselor 3-N-1 Attestations (Confidentiality and Non-Discloser, Code of Ethics, Conflict of interest Standards). | **Retain** for 7 years after agreement ends  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62466  Rev. 1 | ***Client Eligibility Files***  Medical eligibility records for Medical/Medicaid benefits.  *Note: Replaced DAN 99-MM-59125 granted to the Department of Social and Health Services.* | **Retain** for 7 years after file is closed  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62467  Rev. 1 | ***Managed Care Organizations***  Documents medical assistance client's choice of Medicaid/Medical plans. The form is used to update the Medicaid Management Information System.  *Note: Replaced DAN 93-06-52549 granted to the Department of Social and Health Services.* | **Retain** for 1 year after data entry accomplished  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |

1. FINANCIAL SERVICES

This section covers records relating to the audits, payments, rates, and fiscal reporting for health care programs.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 12-06-68276  Rev. 0 | ***Drug Rebate Reports***  Documents the management of drug rebates from pharmaceutical companies. Medicaid Drug Rebate program requires drug manufactures to enter into and have in effect a national rebate agreement to receive federal funding for outpatient drugs dispensed to Medicaid patients. Documentation must be maintained for the life of the program per federal requirements as manufacturers frequently change past prices and/or dispute items.  Includes, but is not limited to:   * Drug Summary Report by filing Quarter (RRSM475); * Drug Rebate Debit Balances with no Payments (RRSM485); * Other such payment documentation, telephone contact logs; * Activity logs and correspondence.   *Note: Replaced DAN 95-06-55319 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of Medicaid drug rebate program  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 11-08-62487  Rev. 1 | ***Durable Medical Equipment (DME) Program***  Records pertaining to the operation of the program such as approvals, justifications, and denials.  Includes, but is not limited to:   * Medical documentation, rental, modifications; * Purchase or repair to include any of the following: hospital beds, positioning equipment, wheelchairs, prosthetics, orthotics, and specialty wound care, and other DME supplies.   *Note: Replaced DAN 81-02-26889 granted to the Department of Social and Health Services.* | **Retain** for10years after date of service  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 11-08-62488  Rev. 1 | ***Federally Qualified Health Centers***  Audit and settlement documentation with Federally Qualified Health Centers (FQHC) that provider services under Title XIX (Medicaid). Basis of rate setting per RCW 74.46.  Includes, but is not limited to:   * Cost reports, work papers; * Spreadsheets and correspondence.   *Note: Replaced DAN 99-11-59335 granted to the Department of Social and Health Services.* | **Retain** for 6 years after resolution of audit finding  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62509  Rev. 1 | ***Fee Schedules and Billing Instructions***  Documents reimbursement rates and policies for medical assistance providers and various Title XIX medical assistance programs other than hospitals.  Includes, but is not limited to:   * Rate sheets; published fee schedules and billing instructions; * Reviews and comments on billing instructions prior to publication; * Evaluations and other correspondence; * Related back-up.   *Note: Replaced DAN 84-07-34185 granted to the Department of Social and Health Services.* | **Retain** for 6 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62489  Rev. 1 | ***First Steps Maternity Client Files***  Provides records of clients enrolled in the maternity program.  Includes, but is not limited to:   * Pre-approvals for Special Needs care/doctor's scripts, * Background check results, working notes, and tax documentation; * Provider communications, support designs, client information.   *Note: Replaced DAN 05-09-60982 granted to the Department of Social and Health Services.* | **Retain** for6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62491  Rev. 2 | ***Hospital Reimbursements – Under Appeal***  Supportive documentation for Medicaid reimbursement for hospital rates that are being held in anticipation of the ongoing appeal process.  *Note: Replaced DAN 00-12-59995 granted to the Department of Social and Health Services.* | **Retain** for 10 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62490  Rev. 2 | ***Hospital Settlement Files***  Cost settlement documentation for all hospital facilities including Critical Access hospitals.  Includes but not limited to:   * Recoupment and/or payments.   *Note: Replaced DAN 84-07-34169 granted to the Department of Social and Health Services.* | **Retain** for10 years after date of settlement  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62493  Rev. 1 | ***Medical Provider Rates Files***  Documents establishment of reimbursement rates for medical providers other than hospitals under the Medical Assistance (Medicaid Title XIX) program.  Includes, but is not limited to the establishment of rates for:   * Drugs and eyeglasses; * Durable medical equipment.   *Note: Replaced DAN 80-10-26147 granted to the Department of Social and Health Services.* | **Retain** for 10 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62494  Rev. 1 | ***Medicare Cost Claim Reports***  Cost reports used for hospital rate setting and reimbursement under Title XIX (Medicaid).  Includes, but is not limited to:   * CMS 2552 cost reports.   *Note: Replace DAN 83-05-31954 granted to the Department of Social and Health Services.* | **Retain** for 10 years after claim resolved  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 18-07-69282  Rev. 0 | ***Premium Payment Program (PPP) Client Reimbursement Files***  Records documenting payments to clients and the activities related to reimbursement of monthly premiums.  Includes, but is not limited to:   * Copies of the letters/correspondence sent to clients; * Proof of payment (wage stubs, billing and bank statements); * Copies of insurance cards. | **Retain** for 6 years after final payment to the client  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 18-07-69283  Rev. 0 | ***Premium Payment Program (PPP) Cost Sharing Program Files***  Records documenting payments to clients and activities related cost-sharing.  Includes, but is not limited to:   * Copies of the letters/correspondence sent to clients); * Proof of payment (EOBs, receipts, credit card payments). | **Retain** for 6 years after eligibility date of the client  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62495  Rev. 1 | ***Professional Reimbursement – Under Appeal***  Supportive documentation for reimbursement revolving around professional rates that are being held in anticipation of the on-going appeal process. Used for individual providers.  *Note: Replaced DAN 00-12-59994 granted to the Department of Social and Health Services.* | **Retain** for 10 years after date of document  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62496  Rev. 1 | ***Prospective Payment System (PPS) Documentation***  Establishes a methodology for inpatient hospital reimbursement based on Diagnostic Related Groups under the terms of the Title 19 State Plan. Includes payment history information used to develop reimbursement rates.  *Note: Replaced DAN 80-10-26148 granted to the Department of Social and Health Services.* | **Retain** for 10 years after superseded  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62497  Rev. 1 | ***Third Party Liability (TPL) Cases and Payment Cards***  Documents payments to providers and activity related to cost avoidance/recovery for medical assistance recipients.  Includes, but is not limited to:   * Third Party Medical Vendor Payment Cards (DSHS 18-232); * Finalized A-19's (Invoice Vouchers), and premium payments; * Master Pay cards maintained by the Cash Control Unit; * Third Party Medical Vendor Payment Cards maintained by the Casualty Unit.   *Note: Replaced DAN 79-03-22062 granted to the Department of Social and Health Services.* | **Retain** for 6 years after final payment  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |

1. HEALTH CARE SERVICES

This section covers records relating to the administration and oversight of Medicaid and Basic Health Plan health care services.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 12-06-68275  Rev. 0 | ***Basic Health Plan (BHP) Enrollment and Account Maintenance***  Account correspondence relating to member enrollment and maintenance activities of the Basic Health Plan (BHP).  Includes, but is not limited to:   * Applications; * Member enrollment information; * Account activity. | **Retain** for 6 years after date of last activity  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 18-07-69278  Rev. 0 | ***HIPAA Privacy Documentation***  Any communications, actions, activities, assessments, or designations required by the Health Insurance Portability and Accountability Act (HIPAA) Administrative Regulations (45 CFR 160 – 164) to be in writing or documented including:   * Exercise of client rights relating to protected health information , including requests for amendment, accounting of disclosures, restrictions on use and disclosure, confidential communications; * Forms adopted for compliance with rule, including Notice of Privacy Practices and Acknowledgments; * Completed forms, including consents and authorizations; * Procedures and policies; * Designated record sets; * Privacy complaints and dispositions, including transactions referred by HHS Office for Civil Rights; * Training materials and documentation; * Breaches of unsecured protected health information, including notifications; * Client access requests to designated records sets.   *Note: Series contains confidential information.* | **Retain** for 6 years after date of creation, final response, or date last in effect, *whichever is later*  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 18-07-69279  Rev. 0 | ***Medicaid Provider Audits***  Records relating to audits of Medicaid providers conducted by the Health Care Authority.  Includes, but is not limited to:   * Final reports of audits and examinations; * Audit strategies and procedures performed; * Audit evidence * Related correspondence/communications. | **Retain** for 6 years after final audit report date  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62473  Rev. 1 | ***Prepayment Review – Recipient Files***  Documentation of compliance regarding provider billing relating to Medicaid.  Includes, but is not limited to:   * Prepayment reviews; * Recipient complaints.   *Note: Replaced DAN 80-10-26153 granted to the Department of Social and Health Services.* | **Retain** for 6 years after resolution of issue  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62480  Rev. 0 | ***Utilization Review – Provider Files***  Documents review of provider services per federal requirements for Medicaid program compliance.  *Note: Replaced DAN 80-10-26150 granted to the Department of Social and Health Services.* | **Retain** for6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 11-08-62474  Rev. 0 | ***Utilization Review – Recipient Files***  Documents review of recipients per federal requirements for Medicaid program compliance.  *Note: Replaced DAN 80-10-26151 granted to the Department of Social and Health Services.* | **Retain** for 6 years after claim resolved  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |

1. LEGAL SERVICES

This section covers records relating to the Legal Services of the Health Care Authority.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 11-08-62508  Rev. 3 | ***Health Care Authority Hearings and Appeals***  Provides documentation of Health Care Authority fair hearings/appeals for all Health Care Authority providers/insurers on issues relating to medical services, third party liability and insurance, medical eligibility and policy, restrictive documents coupons and disability.  Excludes records covered by:   * *Hospital Reimbursement – Under Appeal (DAN 11-08-62491)*; * *Professional Reimbursement – Under Appeal (DAN 11-08-62495)*.   *Note: Replaced DAN 93-06-52548 granted to the Department of Social and Health Services.* | **Retain** for6 years after final decision or completion of judicial review  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. OFFICE OF MEDICAL MANAGEMENT

This section covers records relating to the Office of Medical Management of the Health Care Authority.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 11-08-62498  Rev. 0 | ***Alien Emergency Medical (AEM) Eligibility***  Provides documentation for Alien Emergency Medical (AEM) clients as approved by Health and Recovery Services Administration (HRSA) Medical Consultants.  *Note: Replaced DAN 08-01-61701 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62499  Rev. 1 | ***Authorization for Treatment Outside Regular Criteria***  Files on treatment that are exception to policy and do not meet regular criteria.  Includes, but is not limited to:   * Justifications and limited extensions; * Chart notes, medical documents; * Physical therapy, surgeries, maternal nutrition, hearing, vision; * CAT scans, dental, and long term home care files; * AEM authorizations and treatments.   *Note: Replaced DAN 97-10-58169 granted to the Department of Social and Health Services.* | **Retain** for 7 years after biennium  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62500  Rev. 2 | ***Dental Program Files***  Documentation pertaining to the operation of the dental program.  Includes, but is not limited to:   * Medical documentation, x-rays; * Justification for dentures; * Letters, approvals, and denials.   *Note: Replaced DAN 81-MF-26893 granted to the Department of Social and Health Services.* | **Retain** for 10 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 11-08-62502  Rev. 1 | ***Long Term Acute Care Records***  Provides documentation for long term acute care.  Includes, but is not limited to:   * Approvals of admissions to Kindred and Regional Hospitals; * Medical documents, correspondence for provider and clients denials.   *Note: Replaced DAN 05-09-60983 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62504  Rev. 1 | ***Medicaid Vision Program***  Provides documentation pertaining to the operation of the vision program.  *Note: Replaced DAN 81-MF-86890 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 11-08-62505  Rev. 1 | ***Pharmacy Authorization Files***  Provides documentation for Medicaid client files used for pharmacy authorizations.  Includes, but is not limited to:   * Medical information used to determine medical necessity; * Justifications by the drug utilization team; * Denials/extension/exceptions, notifications.   *Note: Replaced DAN 05-09-60984 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62503  Rev. 1 | ***Physical Medicine and Rehabilitation Records***  Provides documentation of requests and approvals for medical rehabilitation services and patient progress.  Includes, but is not limited to:   * Requests and denials for medical rehabilitation services and patient progress; * Medical, patient, and provider documents.   *Note: Replaced DAN 81-02-26894 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62506  Rev. 1 | ***Provider Contract Terminations and Hearings***  Documentation to substantiate cutbacks and/or denials for provider reviews in regard to services required.  Includes, but is not limited to:   * Due process documents, clinical reviews and client records; * Correspondence related to Contract Provider Agreements (CPA).   *Note: Replaced DAN 85-03-35114 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |

1. PUBLIC EMPLOYEES BENEFITS BOARD (PEBB)

This section covers records relating to the Public Employees Benefits Board (PEBB) of the Health Care Authority.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 91-02-47423  Rev. 1 | ***Applications for Insurance – Dependents***  Provides a record of applications for approval and periodic recertification as insurance dependents.  Includes, but is not limited to:   * Parent/Disabled/Foster Dependents. | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 98-11-58893  Rev. 1 | ***Case Management Files – Uniform Medical Plan (UMP)***  Medical records of enrollees from UMP that are on case management. | **Retain** for 3 years after action on claim resolved  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 12-06-68277  Rev. 0 | ***Enrollment Forms/Documentation/Reports***  Provides a record of forms and requests of state employees, former-employees (that pay for their own Insurance), and non-state employees.  Includes, but is not limited to:   * Self-Pay Enrollment files; * Insurability/Claims control reports; * Political Subdivision and School District files; * Medical Insurance Reports; * Life Insurance; * LTD (Long Term Disability). | **Retain** for 8 years after termination of coverage  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 91-02-47430  Rev. 1 | ***Health Participation Statistics***  Provides a record of the demographics for each medical/dental plan.  Includes, but is not limited to:   * Form B1110971-01. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 91-02-47419  Rev. 0 | ***Life Insurance Claims***  Provides a record of life insurance claims filed with the carrier. | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 91-02-47429  Rev. 1 | ***Subscriber/Termination Summary Reports***  Provides a record by county of the number of subscribers and dependents.  Includes, but is not limited to:   * Forms B0527R01, B111075201, and B0593R01; * Additions, deletions and changed transactions; * Dependent children who have been terminated due to reaching the plans age limit. | **Retain** for6 years after expiration of register  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 13-03-68438  Rev. 0 | ***Uniform Medical Plan (UMP) Claims***  Claim documents from providers, filed with the Uniform Medical Plan (UMP) for payment.  Includes, but is not limited to:   * Medicaid/Medicare request for reimbursements; * Provider reconsiderations. | **Retain** for 7 years after claim payment  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. SYSTEMS AND MONITORING

This section covers records relating to the monitoring and reporting of health care systems and providers.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 11-08-62486  Rev. 1 | ***Disproportionate Share Hospital Files***  Non-payment client eligibility documents, sent to provider to ensure dates of service and client services match provider files for Title XIX Medicaid Patient Identification Code (PIC) match.  Includes, but is not limited to:   * Disproportionate Share Hospital (DSH) and Certified Public Expenditure (CPE) hospital applications; * Audit and settlement documents for DSH, CPE and Nursing Home Proshare programs.   *Note: Replaced DAN 06-02-61106 granted to the Department of Social and Health Services.* | **Retain** for 10 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62477  Rev. 1 | ***Federal Reports***  Federal reports required by Centers for Medicare and Medicaid Services (CMS).  Includes, but is not limited to:   * Early and Periodic Screening, Diagnosis, and Treatment Program (EPSDT); * IRS 1099 and Annual Managed Care; * Quarterly Children's Health Program and the Quarterly Medicaid Children's Report.   *Note: Replaced DAN 80-10-26094 granted to the Department of Social and Health Services.* | **Retain** for 6 years after federal fiscal year  *then*  **Destroy**. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 11-08-62479  Rev. 1 | ***Managed Care Monitoring and Reporting Files***  Provide a record of expenditures and utilizations relating to medical assistance programs.  Includes, but is not limited to:   * Statistical Report on Medical (501W); * Statistical Report on Recipient Characteristics (502W); * Statistical Report on Institutional Care (503W); * Statistical report on Physician's Visits (504W); * Statistical Report on Payments to Aged/Disabled (505W); * Lag Adjustment Report; * Pending Not Paid Report; * Expenditure and Utilization Report; * Other federal and state reports as required/necessary.   *Note: Internally referred to as MARS (Management and Administrative Reporting System).*  *Note: Replaced DAN 80-10-26146 and DAN 82-07-30093 granted to the Department of Social and Health Services.* | **Retain** for3 years after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 14-12-68712  Rev. 0 | ***Managed Care Performance Reports***  Documentation received from all service contracting entities for the purpose of achieving outcomes (Performance Measures) described in RCW 70.320.020 and 70.320.030(1) for clients enrolled in medical managed care programs that operate according to Title XIX or XXI of the federal Social Security Act.  Includes, but not limited to:   * Mental Health; * Chemical Dependency Treatment Services. | **Retain** for 6 years after final report  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 14-03-68497  Rev. 0 | ***Medicaid Adjustments***  Documentation received by the Health Care Authority for adjustments on claims in the Medical Management Information System (MMIS)/ProviderOne system for Medicaid clients.  Includes, but is not limited to:   * Help desk tickets. | **Retain** for 5 years after ticket closes  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 11-08-62483  Rev. 0 | ***Medical Services Verifications***  Verifications of services received by Medical Assistance recipients.  *Note: Replaced DAN 83-12-33275 granted to the Department of Social and Health Services.* | **Retain** for6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 11-08-62481  Rev. 0 | ***Prepayment Review – Provider Files***  Program surveillance and monitoring per federal requirements for Medicaid program compliance.  *Note: Replaced DAN 80-10-26152 granted to the Department of Social and Health Services.* | **Retain** for 6 years after resolution of issue  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |

1. LEGACY RECORDS

This section covers records no longer being created or received by the Health Care Authority which have yet to reach their minimum retention period.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 05-03-60844  Rev. 2 | ***Health Clinic Funding***  A record of funding and administrative overhead for Community and rural Health Clinics who receive funding from Community Health Services. Such documents include funding distribution sheets, clinic disbursement documents, administrative and budget records and fiscal year activity reports for CHS, contractor's tax ID numbers pertinent to billing and payment documents.  *Note: Program ending in 2011.* | **Retain** for 6 years after end of biennium  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 14-06-68524  Rev. 0 | ***Home Health Agency Records***  Provides documentation of approved Medicaid services, rates, patient plan or care, and justification for excess payments. Includes home health patient files.  *Note: Replaced DAN 81-02-26895 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

GLOSSARY

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| ***Appraisal*** |
| **The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.** |
| ***Archival (Appraisal Required)*** |
| **Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.**  *Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.* |
| ***Archival (Permanent Retention)*** |
| **Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.**  *WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention”) other than the removal of duplicates.* |
| ***Disposition*** |
| **Actions taken with records when they are no longer required to be retained by the agency.**  *Possible disposition actions include transfer to Washington State Archives and destruction.* |
| ***Disposition Authority Number (DAN)*** |
| **Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.** |
| ***Essential Records*** |
| **Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.**  *Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.* |
| ***Non-Archival*** |
| **Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.**  *Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.* |
| ***Non-Essential Records*** |
| **Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.** |
| ***OFM (Office Files and Memoranda)*** |
| **Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.**  *RCW 40.14.010 – Definition and classification of public records.*  *(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”* |
| ***OPR (Official Public Records)*** |
| **Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.**  *RCW 40.14.010 – Definition and classification of public records.*  *(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records.”* |
| ***Public Records*** |
| **RCW** **40.14.010** *–* **Definition and classification of public records.**  *“… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…”* |
| ***Records Series*** |
| **A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.** |
| ***State Records Committee*** |
| **The committee established by RCW 40.14.050 to review and approve disposition of state government records.**  *Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.* |

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| --- | --- |
| INDEXES | ARCHIVAL RECORDS |

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

SYSTEMS AND MONITORING

Federal Reports 23

|  |
| --- |
| **INDEX: ESSENTIAL RECORDS** |

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

BEHAVIORAL HEALTH RECORDS

Background Checks on Applicants for Concealed Weapons Permits and Firearm Dealer’s Licenses 4

Offender Reentry Community Safety (ORCS) Program Files 6

ELIGIBILITY POLICY AND SERVICE DELIVERY

Background Check/Applications/Agreements 7

Managed Care Organizations 7

FINANCIAL SERVICES

Drug Rebate Reports 8

First Steps Maternity Client Files 10

Hospital Reimbursements – For Appeal 10

Medicare Cost Claim Reports 11

Premioum Payment Program (PPP) Client Reimbursement Files 12

Premium Payment Program (PPP) Cost Sharing Program Files 12

Prospective Payment System (PPS) Documentation 12

Third Party Liability (TPL) Cases and Payment Cards 13

HEALTH CARE SERVICES

Basic Health Plan (BHP) Enrollment and Account Maintenance 14

Utilization Review Receipient Files 16

OFFICE OF MEDICAL MANAGEMENT

Alien Emergency Medical (AEM) Eligibility 18

Authorization for Treatment Outside Regular Criteria 18

Dental Program Files 18

Long Term Acute Care Records 19

Medicaid Vision Program 19

Pharmacy Authorization Files 19

Physical Medicine and Rehabilitation Records 20

Provider Contract Terminations and Hearings 20

PUBLIC EMPLOYEES BENEFITS BOARD

Case Management Files – Uniform Medical Plan (UMP) 21

Enrollment Forms/Documentation/Reports 21

Health Participation Statistics 22

Subscriber/Termination Summary Reports 22

SYSTEMS AND MONITORING

Disproportionate Share Hospital Files 23

Medicaid Adjustments 25

Medical Services Verifications 25

Prepayment Review – Provider Files 25

|  |
| --- |
| **INDEX: DISPOSITION AUTHORITY NUMBERS (DAN’s)** |

05-03-60844 26

11-08-62466 7

11-08-62467 7

11-08-62473 16

11-08-62474 16

11-08-62477 23

11-08-62479 24

11-08-62480 16

11-08-62481 25

11-08-62483 25

11-08-62486 23

11-08-62487 9

11-08-62488 9

11-08-62489 10

11-08-62490 11

11-08-62491 10

11-08-62493 11

11-08-62494 11

11-08-62495 12

11-08-62496 12

11-08-62497 13

11-08-62498 18

11-08-62499 18

11-08-62500 18

11-08-62502 19

11-08-62503 20

11-08-62504 19

11-08-62505 19

11-08-62506 20

11-08-62508 17

11-08-62509 10

12-06-68275 14

12-06-68276 8

12-06-68277 21

13-03-68438 22

14-03-68496 7

14-03-68497 25

14-06-68524 26

14-12-68712 24

18-07-69275 4

18-07-69276 4

18-07-69277 5

18-07-69278 15

18-07-69279 15

18-07-69280 5

18-07-69281 6

18-07-69282 12

18-07-69283 12

91-02-47419 22

91-02-47423 21

91-02-47429 22

91-02-47430 22

98-11-58893 21

INDEX: SubjectS

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

A

alien emergency medical (AEM) eligibility 18

applications for insurance, dependents 21

asset management *see SGGRRS*

audits *see also SGGRRS*

Medicaid providers 15

authorization for treatment outside regular criteria 18

B

background checks, concealed weapons and firearms 4

basic health plan (BHP), enrollment and account maintenance 14

C

care management files – uniform medical plan 21

claims, life insurance 22

claims, uniform medical plan (UMP) 22

client eligibility files 7

complaints *see SGGRRS*

compliance files, behavioral health and recovery 4

concealed weapons and firearms, background checks 4

continuing education units (CEU) 5

contracts *see SGGRRS*

correspondence *see SGGRRS*

D

dangerous mentally ill, mental health services 6

dental program files 18

dependents, applications for insurance 21

disproportionate share hospital files 23

drug rebate reports 8

durable medical equipment (DME) program 9

E

enrollment, PEBB 21

executive level records *see SGGRRS*

F

facilities, general *see SGGRRS*

federal reports 23

federally qualified health centers 9

fee schedules and billing instructions 10

financial *see SGGRRS*

first steps maternity client files 10

G

general office operations *see SGGRRS*

grants management *see SGGRRS*

grievances *see SGGRRS*

H

health participation statistics 22

hospital reimbursements, appeal 10

hospital settlement files 11

human resources management *see SGGRRS*

I

information systems *see SGGRRS*

L

leave *see SGGRRS*

legal files *see SGGRRS*

life insurance claims 22

long term acute care records 19

M

mail services *see SGGRRS*

managed care

monitoring/reporting 24

organizations 7

maternity client files, first steps 10

Medicaid

provider audits 15

vision program 19

medical provider rates files 11

medical services verifications 25

medicare cost claim reports 11

meetings *see SGGRRS*

mental health services, dangerous mentally ill 6

mental health, resident assessments 5

motor vehicles *see SGGRRS*

O

offender reentry community safety program 6

P

parking services *see SGGRRS*

payroll *see SGGRRS*

pharmacy authorization files 19

physical medicine and rehabilitation records 20

policies/procedures *see SGGRRS*

premium payment program 12

prepayment review, provider files 25

prepayment review, recipient files 16

professional reimbursement, appeal 12

prospective payment system documentation 12

provider contract terminations and hearings 20

public disclosure *see SGGRRS*

public records requests *see SGGRRS*

publications see SGGRRS

R

records management *see SGGRRS*

risk management *see SGGRRS*

S

security *see SGGRRS*

subscriber/termination summary reports 22

T

telecommunications *see SGGRRS*

third party liability (TPL) cases and payment cards 13

timesheets *see SGGRRS*

training *see SGGRRS*

training, continuing education documentation 5

transitory records *see SGGRRS*

travel *see SGGRRS*

U

uniform medical plan (UMP) claims 22

utilization review, provider files 16

utilization review, recipient files 16

V

vehicle management *see SGGRRS*