**This schedule applies to: U.W. Medicine**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of U.W. Medicine relating to the functions of agency management, asset management, health care and treatment, hospital support services, human resource management, laboratory and pathology management, pharmacies, and research. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

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

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

**Revocation of previously issued records retention schedules**

All previously issued records retention schedules to U.W. Medicine are revoked. U.W. Medicine 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 7, 2022.

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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:** **Heather Hirotaka** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | August 3, 2011 | Initial version. |
| 1.1 | June 5, 2013 | Minor revisions. |
| 1.2 | September 3, 2014 | Minor revisions. |
| 1.3 | December 3, 2014 | Addition of a new Student Management section and minor revisions to the Agency Management – Community Relations; Health Care and Treatment – Patient Billing; and Hospital Support Services – Quality Assurance and Compliance sections. |
| 1.4 | March 12, 2015 | Revision of Research Management section. |
| 1.5 | March 2, 2016 | Minor revisions to the “Hospital Support Services – Quality Assurance and Compliance” and “Pharmacy Management – Drug Accountability” sections. |
| 1.6 | December 7, 2016 | Minor revisions and corrections to the Agency Management, Health Care and Treatment, Hospital Support Services, and Human Resource Management sections. Corrections made to Research Management and Student Management sections. Essential and Subject Indexes updated to reflect minor revisions and corrections.  |
| 1.7 | April 4, 2018 | Minor revisions and corrections to the Asset Management, Health Care and Treatment, Hospital Support Services, Human Resource Management, and Pharmacy Management sections. |
| 1.8 | August 1, 2018 | Minor revisions to the Agency Management, Asset Management, Health Care and Treatment, and Hospital Support Services sections. Major revisions to the Laboratory and Pathology Management section. |
| 1.9 | October 2, 2019 | Minor revisions to Hospital Support Services, Human Resource Management, and Laboratory and Pathology Management sections. |
| 1.10 | December 7, 2022 | Minor revisions to Community Relations and Quality Assurance and Compliance sections.  |

For assistance and advice in applying this records retention schedule,

please contact the U.W. Medicine’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. COMMUNITY RELATIONS

The activity of the agency interacting with its community. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-08-69299Rev. 0 | Clinical Observation RecordsRecords relating to the application for and granting of observational privileges in a clinical setting. Includes, but is not limited to, signed agreements, background checks, health surveys and immunizations, and correspondence. Excludes records covered by Medical Staff Credentialing/Privileging/Enrollment (DAN 11-08-62587). | **Retain** for 8 years after end of observation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62511Rev. 2 | Patient RelationsRecords relating to the agency’s interactions with patients or their representatives, such as inquiries, complaints, and grievances. Includes, but is not limited to:* Inquiries/complaints/grievances received;
* Documentation of agency response(s).

Excludes records covered by *Compliance Investigations (DAN 11-08-62584)*. | **Retain** for 8 years after inquiry/complaint/grievance *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 13-06-68446Rev. 4 | Patient Relations – Telephone Records (Routine)Records documenting routine phone calls and referral processes directed to UW Medicine call centers and other units, relating to health care, appointments, inquires, complaints, and financial matters. Includes, but is not limited to:* Recordings of interactions;
* Call reports and statistics.

Excludes records covered by:* *Patient Relations (DAN 11-08-62511)*;
* *Compliance Investigations (DAN 11-08-62584)*;
* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** until no longer needed for agency business *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. ASSET MANAGEMENT

The function of managing hospital and affiliated entities’ physical assets and infrastructure including buildings and facilities, equipment, and environmental exposure, where not covered by the *State Government General Records Retention Schedule*.

*See the State Government General Records Retention Schedule for additional record series relating to disposal, hazardous waste/environmental management, inventory, leasing/usage, and maintenance.*

| * 1. DISPOSAL

The activity of disposing of the agency’s assets through sale or otherwise, where not covered by the State Government General Records Retention Schedule. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62513Rev. 0 | Decay In StorageRecords relating to the disposal of radioactive materials due to decay in storage pursuant to WAC 246-240-128.Note: WAC 246-240-584 requires the retention of records relating to the disposal of decay-in-storage radioactive material for 3 years. | **Retain** for 3 years after date of final disposal *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62514Rev. 0 | Decay – Strontium-90Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, pursuant to WAC 246-240-272.Note: WAC 246-240-602 requires the retention of records relating to the activity of strontium-90 sources used for ophthalmic treatments for the life of the source. | **Retain** for the life of the source *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62512Rev. 0 | Radioactive Material – DisposalRecords relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil.Note: WAC 246-221-230(8)(a) requires the retention of records relating to disposal of radioactive material until termination of pertinent license or registration. | **Retain** until termination of last pertinent license or registration *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. INFORMATION TECHNOLOGY

The activity of managing the agency’s information technology and services, where not covered by the State Government General Records Retention Schedule. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-04-69199Rev. 0 | ***Computer Forensic Investigations***Records relating to the acquisition, examination, analysis, and reporting of digital evidence found in computers and digital storage media. Excludes records covered by:* *Compliance Investigations (DAN 11-08-62584)*;
* *Information Security Records (DAN 14-09-68535)*.
 | **Retain** for 8 years after end of investigation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 14-09-68535Rev. 0 | Information Security RecordsRaw data such as files, logs, or electronic content created to monitor the organization’s enterprise computer systems, used to assess and identify potential or actual security incidents.Includes, but is not limited to: * Security logs;
* Firewall logs;
* System file use data;
* System activity data;
* User activity data;
* Anti-virus data.

Excludes security incidents that warrant further investigations. | **Retain** for 1 year after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

| * 1. INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62516Rev. 0 | Radiation Source InventoriesRecords relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572.Note: WAC 246-240-572 requires the retention of records relating to physical inventories of sealed sources and brachytherapy sources for 3 years. | **Retain** for 3 years after date of inventory *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62517Rev. 0 | Radioactive Material – Acquisition/TransferRecords relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material.Note: 10 CFR 30.51(a)(1) and (2) require the retention of records relating to the receipt or transfer of byproduct material for 3 years following transfer or disposal of the material. | **Retain** for 3 years after disposal/transfer *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. LEASING/USAGE

The activity of acquiring or granting temporary authority to use goods, materials, or resources. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62518Rev. 0 | In-Home EquipmentRecords relating to the provision and maintenance of hospital-owned equipment used in patient residences, including radioactive materials and surveys of associated equipment (mobile medical services).Note: WAC 246-240-581 requires the retention of letters permitting the use of radioactive material at a client’s address, and surveys of associated equipment, for 3 years after the last provision of service. | **Retain** for 8 years after equipment has been removed from patient residence *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62519Rev. 0 | Calibration – Brachytherapy SourcesRecords relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269.Note: WAC 246-240-599 requires the retention of records relating to the calibration of brachytherapy sources before medical use for 3 years. | **Retain** for 3 years after last use of source *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62520Rev. 0 | Calibration – Dosimetry EquipmentRecords relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366.Note: WAC 246-240-611 requires the retention of records relating to the calibration, intercomparison, and comparisons of dosimetry equipment for the duration of the authorized user’s license. | **Retain** for the duration of authorized user’s license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62521Rev. 0 | ***Calibration Expert Evaluations***Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital. | **Retain** for 5 years after expert’s performance of last full calibration *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62522Rev. 0 | Calibration Instructions – Image ReceptorsRecords relating to calibration instructions for image receptor equipment. | **Retain** until disposition of image receptor *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62523Rev. 0 | Equipment Calibration and TestingRecords relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material *where not covered by a more specific record series*.Includes, but is not limited to:* Calibration of instruments used for quantitative radiation measurements in accordance with WAC 246-221-110(2);
* Calibration of survey instruments in accordance with WAC 246-240-104;
* Calibration of teletherapy units, remote afterloader units, and gamma stereotactic units in accordance with WAC 246-240-369;
* Calibration of instruments used to measure the activity of unsealed radioactive material in accordance with WAC 246-240-101;
* Records relating to testing of high radiation entry control devices in accordance with WAC 246-221-106(3).

Note: WAC 246-240-566 requires the retention of survey instrument calibration records for 3 years.Note: WAC 246-240-614 requires the retention of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations for 3 years.Note: WAC 246-240-563 requires the retention of records of each calibration of instruments used to measure the activity of unsealed radioactive material for 3 years. | **Retain** for 3 years after date of calibration/test *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62524Rev. 2 | Equipment Sterilization/Infection ControlRecords relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use. | **Retain** for 8 years after date of sterilization *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62525Rev. 0 | Instructions – ManufacturerInstructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a).  | **Retain** for duration of source use *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62526Rev. 0 | Instructions/Procedures – Radiation ProtectionWritten procedures, safety instructions, and/or operating procedures for remote afterloader units, teletherapy units, and/or gamma stereotactic radiosurgery units as described in WACs 246-240-360(1)(d) and 246-240-360(4)(b).Note: WAC 246-240-608 requires the retention of written procedures, safety instructions, and operating procedures for remote afterloader units, teletherapy units, and gamma stereotactic radiosurgery units until disposition of the unit. | **Retain** for 3 years after disposition of equipment *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62527Rev. 0 | ***Radiation Machine Registrations***Records relating to the registration of radiation machines with the Department of Health in accordance with Chapter 246-224 WAC. | **Retain** for 6 years after termination of registration *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62529Rev. 0 | Surveys – Treatment EquipmentRecords relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390.Note: WAC 246-240-629 requires the retention of records relating to radiation surveys of treatment units for the duration of use of the unit. | **Retain** for the duration of the use of the treatment unit *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62530Rev. 0 | Teletherapy Calibration CalculationsRecords relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy. | **Retain** until termination of equipment license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62531Rev. 0 | Teletherapy Five-Year/Source Replacement InspectionsRecords relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393. Note: WAC 246-240-632 requires the retention of records relating to five-year inspections for teletherapy and gamma stereotactic radiosurgery units for the duration of use of the unit. | **Retain** for the duration of the use of the unit *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62532Rev. 0 | Teletherapy Source Installation SurveysRecords relating to radiation surveys of teletherapy sources prior to medical use and/or after each installation of a teletherapy source in accordance with 10 CFR 35.641.Note: 10 CFR 35.641(c) requires the retention of records relating to teletherapy source installation radiation measurements for the duration of the license. | **Retain** until termination of equipment license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62533Rev. 0 | X-Ray/Electron Therapy Spot ChecksRecords relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130.Note: WAC 246-225-130(2)(u)(iii)(H) requires the retention of records relating to spot checks of x-ray and electron therapy spot checks for one year or for twice as long as the spot check cycle, whichever is greater. | **Retain** for 1 year after completion of spot check *and*for twice as long as spot check cycle *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. PURCHASING/ACQUISITION

The activity of acquiring assets through purchase or donation. Includes records documenting ownership of assets.See the **State Government General Records Retention Schedule** for record series relating to the purchasing/acquisition of agency assets. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62534Rev. 0 | Acceptance TestingRecords relating to purchase specifications and acceptance testing of diagnostic radiology equipment pursuant to 21 CFR 1000.55.Note: 21 CFR 1000.55(c)(2) requires the retention of purchase specifications and records of acceptance testing throughout the life of the equipment. | **Retain** until disposition of equipment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. HEALTH CARE AND TREATMENT

The function relating to the assessment, diagnosis, and treatment of patients.

*See the State Government General Records Retention Schedule’s* ***HUMAN RESOURCE MANAGEMENT – Occupational Health and Safety*** *activity for additional records relating to employee/occupational health. See the State Government General Records Retention Schedule for additional financial records.*

| * 1. DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62535Rev. 4 | ***Diagnostic Imaging and Testing Records – Age 18 and Over***Records relating to examinations, assessments, or tests performed in order to determine condition, disease, or injury, which may take the form of graphs, images, tracings, video, or other formats produced by diagnostic equipment. Also includes signed orders, requisitions, or other documented requests by providers for diagnostic tests and images to be performed, as well as reports, summaries, or other documentation of interpretations of diagnostic assessments.Excludes records covered by:* *Endoscopy and Colonoscopy Images (DAN 18-08-69300)*;
* *Endoscopy and Colonoscopy Videos (DAN 18-08-69301);*
* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Mammograms (DAN 11-08-62537)*;
* *Sleep Test Data (DAN 18-04-69204)*.
 | **Retain** for 10 years after date of test or assessment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62536Rev. 4 | ***Diagnostic Imaging and Testing Records – Under Age 18***Records relating to examinations, assessments, or tests performed in order to determine condition, disease, or injury, which may take the form of graphs, images, tracings, video, or other formats produced by diagnostic equipment. Also includes signed orders, requisitions, or other documented requests by providers for diagnostic tests and images to be performed, as well as reports, summaries, or other documentation of interpretations of diagnostic assessments.Excludes records covered by:* *Endoscopy and Colonoscopy Images (DAN 18-08-69300)*;
* *Endoscopy and Colonoscopy Videos (DAN 18-08-69301);*
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*;
* *Mammograms (DAN 11-08-62537)*;
* *Sleep Test Data (DAN 18-04-69204)*.
 | **Retain** for 10 years after patient attains age 18 *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-08-69300Rev. 0 | Endoscopy and Colonoscopy ImagesStill images and other documentation generated during examinations of the digestive system. Excludes records covered by:* Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535);
* Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536);
* Endoscopy and Colonoscopy Videos (DAN 18-08-69301);
* Patient Medical Records – Age 18 and Over (DAN 11-08-62531);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).
 | **Retain** for 10 years after date of procedure or 10 years after patient’s last procedure performed at the facility, *whichever is longer* *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-08-69301Rev. 0 | Endoscopy and Colonoscopy VideosVideos generated during examinations of the digestive system. Excludes records covered by:* Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535);
* Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536);
* Endoscopy and Colonoscopy Images (DAN 18-08-69300);
* Patient Medical Records – Age 18 and Over (DAN 11-08-62531);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).
 | **Retain** for 2 years after date of procedure *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62537Rev. 3 | MammogramsX-ray images of the breast used primarily for diagnostic and screening purposes. Excludes records covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*;
* *Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535)*;
* *Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536)*.

Note: The Mammography Quality Standards Act (MQSA) Title 42, Chapter 6A, Subchapter II, Part F, subpart 3 (f)(G)(i)(I) requires the retention of mammograms for not less than 5 years, or not less than 10 years if no subsequent mammograms of such patient are performed at the facility. | **Retain** for 5 years after date of mammogram *or*10 years after patient’s last mammogram performed at the facility, *whichever is longer* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69308Rev. 0 | Operating Room VideosVideos and associated images generated during surgical procedures conducted in hospital operating rooms. Excludes records covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 2 years after date of procedure *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-04-69204Rev. 0 | Sleep Test DataRaw data collected from sleep tests.Includes, but is not limited to:* Polysomnography (PSG) data;
* Multiple Sleep Latency Testing (MSLT) data;
* Maintenance of Wakefulness Testing (MWT) data;
* Home Sleep Apnea Testing (HSAT) data.

Excludes records covered by:* Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535);
* Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536).

Note: Retention period required to meet the accreditation standards of the American Academy of Sleep Medicine. | **Retain** for 5 years after date of test *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

| * 1. LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62539Rev. 0 | Drug Logs – Therapeutic LeaveLogs documenting the provision of prescription drugs to residents for consumption during leave away from the long term care/nursing facility pursuant to WAC 246-865-070(4). | **Retain** for 8 years after date of last entry *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62540Rev. 0 | Emergency Kit DrugsRecords relating to the receipt and removal of drugs in emergency kits maintained by long term care/nursing facilities in accordance with WAC 246-865-030(4). | **Retain** for 6 years after date of receipt/removal *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62541Rev. 2 | Long Term Care Facility/Nursing Home Resident Medical Records – Age 18 and OverRecords created by long term care facilities or nursing homes on a per-patient basis which document services provided to patients.Note: see RCW 18.51.300. | **Retain** for 8 years after last discharge *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62542Rev. 2 | Long Term Care Facility/Nursing Home Resident Medical Records – Under Age 18Records created by long term care facilities or nursing homes on a per-patient basis which document services provided to patients.Note: see RCW 18.51.300. | **Retain** for 10 years after last discharge *or*3 years after patient attains age 18, *whichever is longer* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62543Rev. 0 | ***Persons Seeking Admission***Records relating to individuals on waiting lists for admission to the long term care/nursing facility in accordance with WAC 388-97-0040(6), but who have not yet been admitted. | **Retain** for 1 year after date of last activity *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62544Rev. 0 | ***Resident Administration***Records documenting summary patient information pertinent to the administration of long term care/nursing services, such as information relating to resident identification, family contacts, and financial details (i.e. “face sheets”).Excludes long term care/nursing home patient records covered by 11-08-62541 or 11-08-62542. | **Retain** for 1 year after death/discharge of resident *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62545Rev. 0 | ***Resident Censuses***Records documenting census information and statistics about long term care/nursing residents. | **Retain** until no longer needed for agency business *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |
| 11-08-62546Rev. 0 | ***Resident In/Out Logs***Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility. | **Retain** for 3 years after last entry *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 14-09-68534Rev. 2 | ***Admitting and Registration***Records relating to the process of admitting, registering, and coordinating care in inpatient and outpatient settings. Includes utilization and case management records, census and patient health statistics, and patient safety and satisfaction surveys. Excludes records covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*;
* *Referrals – To the Agency (DAN 11-08-62552)*;
* *Referrals – Outside of the Agency (DAN 11-08-62553)*.
 | **Retain** for 10 years after date of document *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 16-12-69015Rev. 0 | ***Clinic Business Operations***Records relating to the routine operations and coordination of care in physician’s offices, ambulatory clinics, and nursing units.Includes, but is not limited to:* Patient resources;
* Patient appointments, schedules, and sign-in sheets;
* Office task lists, checklists, and worksheets;
* Staff signature lists.

Excludes records covered by *Staff Plans/Schedules (DAN 11-08-62595)*. | **Retain** for 8 years after end of calendar year  *or*until superseded*, whichever is longer* *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-04-69202Rev. 0 | ***Emergency Response Records***Records relating to the preparation, coordination, and/or deployment of personnel and equipment for pre-hospital care and treatment in medical emergencies, including dispatch records. Excludes records incorporated into the Electronic Health Record, covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 3 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62547Rev. 2 | ***Master Patient Index***Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital. Includes demographic data, encounter data, and admissions, discharge, transfer (ADT) data. | **Retain** for the life of the agency *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL**OPR |
| 11-08-62548Rev. 0 | Maternity RegistersRegisters of maternity cases at the hospital. | **Retain** for 3 years after date of entry *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 11-08-62549Rev. 1 | Operative IndexesLogs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information.Note: The American Health Information Management Association (AHIMA) recommends the retention of operative indexes for 10 years. | **Retain** for 10 years after date of entry *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 11-08-62551Rev. 0 | Operative Scheduling/AssignmentsRecords relating to the scheduling and assignment of staff, equipment, or other medical resources for pre-operative, operative, or post-operative procedures performed by the hospital and/or its ancillary departments (e.g. perioperative services).Includes, but is not limited to:* Anesthesia/activity logs;
* Equipment schedules;
* Medical, nursing, anesthesia, and support staff schedules;
* Perfusion records.
 | **Retain** for 8 years after date of operation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62552Rev. 0 | Referrals – To the AgencyPre-admission records relating to patients referred to the agency by outside providers. | **Retain** until no longer needed for agency business *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62553Rev. 0 | Referrals – Outside of the AgencyRecords relating to agency referrals of patients to non-agency providers. | **Retain** for 2 years after date of receipt *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

| * 1. PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62557Rev. 1  | Compliance – Uncompensated CareRecords documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510(b). Includes, but is not limited to:* Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 42 CFR 124.510(a)(i));
* Accounts which clearly segregate uncompensated services from other accounts;
* Copies of written determinations of eligibility under 42 CFR Part 124.507.
 | **Retain** for 3 years after report submitted to Health and Human Services *or*180 days after close of Health and Human Services investigation, *whichever is longer* *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62556Rev. 1 | ***Patient Financial Records***Records relating to patient billing, the revenue cycle of payments and reimbursement claims by the healthcare provider to a third party payer, and the documentation to support these functions. Also may include records relating to financial assistance requested and/or granted. Includes, but is not limited to:* Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.);
* Medicaid/Medicare applications, questionnaires, billing records, and reimbursements;
* Insurance and patient reimbursements;
* Institutional and professional claims;
* Patient billing statement (discharge);
* Cost/Fee sheets and supporting documentation;
* Facility Only Billing (FOB);
* Reconciliations;
* Audits;
* Refunds;
* Write-offs/charity;
* Appeals;
* Correspondence (patient and third party payer).
 | **Retain** for 10 years after date of document *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-08-69291Rev. 0 | Assisted Reproduction – Donor Records – Not SuccessfulRecords relating to genetic materials donated for assisted reproduction not resulting in conception. Excludes records covered by:* Patient Medical Records – Age 18 and Over (DAN 11-08-62561);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).
 | **Retain** for 10 years after donated materials are disposed of or no longer viable *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69292Rev. 0 | Assisted Reproduction – Donor Records – Successful Records relating to genetic materials donated for assisted reproduction resulting in conception, including donor charts and the recipient/donor match list. Excludes records covered by:* Patient Medical Records – Age 18 and Over (DAN 11-08-62561);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).
 | **Retain** for the life of the agency *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69293Rev. 0 | Assisted Reproduction – Screening RecordsRecords relating to the screening of individuals donating genetic materials for assisted reproduction.  | **Retain** for 10 years after donated materials are disposed of, transplanted, or no longer viable *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62558Rev. 2 | Counseling Records – Age 18 and OverRecords documenting therapeutic techniques and services provided during counseling, therapy, or other mental/behavioral health treatment sessions. Includes, but is not limited to:* Progress notes, tests, and other analyses;
* Medications;
* Registrations, questionnaires, and other intake documents;
* Logs, worksheets, and checklists;
* Appointments and attendance sheets;
* Consent and authorization forms.

Excludes records covered by:* Psychotherapy Notes (DAN 16-12-69018);
* Patient Medical Records – Age 18 and Over (DAN 11-08-62561).
 | **Retain** for 10 years after individual’s last visit *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 16-12-69016Rev. 0  | Counseling Records – Under Age 18Records documenting therapeutic techniques and services provided during counseling, therapy, or other mental/behavioral health treatment sessions. Includes, but is not limited to:* Progress notes, tests, and other analyses;
* Medications;
* Registrations, questionnaires, and other intake documents;
* Logs, worksheets, and checklists;
* Appointments and attendance sheets;
* Consent and authorization forms.

Excludes records covered by:* *Psychotherapy Notes (DAN 16-12-69018)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 10 years after individual attains age 18 *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 18-04-69200Rev. 0 | ***Durable Medical Equipment, Prosthetics, Orthotics, and Supplies***Records relating to the process of ordering and furnishing durable medical equipment, prosthetics, orthotics, and/or supplies, which includes, if applicable, adjusting, replacing, and/or otherwise maintaining furnished items. Includes, but is not limited to:* Certificates of Medical Necessity;
* Delivery tickets;
* DME information forms;
* Prescription, orders, or requests for items.

Excludes records incorporated into the Electronic Health Record, covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.

*Note: 42 CFR 424.516(f) requires the retention of these records for seven years.*  | **Retain** for 7 years after date of service *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-04-69201Rev. 0 | ***Emergency Care Records***Records relating to pre-hospital care and treatment provided during a medical emergency and/or during transportation to a medical facility. Includes patient care reports, images, tests, and drug administration records. Excludes records incorporated into the Electronic Health Record, covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 8 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62559Rev. 2 | Interpretation ServicesRecords relating to the arrangement and delivery of language interpretation during the provision of health care.Includes, but is not limited to:* Requests for interpreters;
* Schedules;
* Daily logs and staff encounter sheets;
* Appointment and clinic confirmations;
* Encounter documentation.

Excludes records covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 1 year after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-08-69307Rev. 0 | Medical Coding RecordsRecords documenting the application of standardized diagnosis and procedures codes to clinical activities. Also may include notes and correspondence related to selecting appropriate codes.  | **Retain** for 10 years after date of document *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62560Rev. 2 | Organ Transplant Records – Age 18 and OverRecords relating to pre- and post-transplant activities performed and documented by a transplant program or center. Includes, but is not limited to:* Transplant candidate evaluations, registrations, and waiting lists;
* Donor health questionnaires and screening records;
* Pre- and post-transplant assessments of organs.

Excludes records covered by Patient Medical Records – Age 18 and Over (DAN 11-08-62561). | **Retain** for 10 years after date of transplant procedure *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 16-12-69017Rev. 0 | Organ Transplant Records – Under Age 18Records relating to pre- and post-transplant activities performed and documented by a transplant program or center. Includes, but is not limited to:* Transplant candidate evaluations, registrations, and waiting lists;
* Donor health questionnaires and screening records;
* Pre- and post-transplant assessments of organs.

Excludes records covered by Patient Medical Records – Under Age 18 (DAN 11-08-62562). | **Retain** for 10 years after candidate/donor attains age 18 *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 13-06-68447Rev. 0 | Outside Medical Records – Not UsedMedical Records received from non-affiliated hospitals, clinics or healthcare providers for continuity of care that are not requested or determined to be inapplicable, and are not incorporated or uploaded into the UW Medicine medical or imaging records system(s). | **Retain** for until no longer needed for agency business *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62561Rev. 3 | Patient Medical Records – Age 18 and OverRecords created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients age 18 and over. Includes, but is not limited to:* Diagnostic, medical, and/or imaging reports or interpretations;
* Medication administration records;
* Patient treatment history.
 | **Retain** for 10 years after last provision of health-related services *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62562Rev. 3 | Patient Medical Records – Under Age 18Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients under age 18.Includes, but is not limited to:* Diagnostic, medical, and/or imaging reports or interpretations;
* Medication administration records;
* Patient treatment history.
 | **Retain** for 10 years after last provision of health-related services *or*3 years after patient attains age 18, *whichever is longer* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 16-12-69018Rev. 0 | ***Psychotherapy Notes***Raw data (e.g., audio/video recordings, hand written notes) created to document or analyze counseling, therapy, or other mental/behavioral health treatment sessions. These data are kept separately from counseling records and/or patient medical records.Includes, but is not limited to:* Details of fantasies and dreams;
* Process interactions;
* Intimate personal information.

Excludes records covered by:* *Counseling Records – Age 18 and Over (DAN 11-08-62558)*;
* *Counseling Records – Under Age 18 (DAN 16-12-69016)*;
* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** until no longer needed for agency business *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-04-69205Rev. 0 | ***Treatment/Care Planning Data***Records relating to a projected sequence of treatment procedures, as well as quantitative and methodological information used to develop individualized treatment or care plans or strategies. Includes diagrams, simulations, dosing calculations, and functional measurements. Excludes records covered by:* *Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535)*;
* *Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536)*;
* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*;
* *Counseling Records – Age 18 and Over (DAN 11-08-62558)*;
* *Counseling Records – Under Age 18 (DAN 16-12-69016)*.
 | **Retain** for 10 years after date of plan *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |

| * 1. RADIATION PROTECTION PROGRAM

The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62564Rev. 0 | Brachytherapy Source AccountabilityRecords documenting information pertinent to licensees’ accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260.Includes, but is not limited to documentation of:* Number and activity of sources removed from storage, time and date removed from storage, name(s) of individuals removing them from storage, and location(s) of use;
* Number and activity of sources not implanted or returned to storage, time and date they were returned to storage, and name(s) of individuals who returned them to storage;
* Number and activity of sources permanently implanted in the patient or human research subject.

Note: WAC 246-240-596 requires the retention of records documenting licensees’ accountability for brachytherapy sources for 3 years after disposal of the source. | **Retain** for 3 years after disposal of source *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62565Rev. 0 | Byproduct MisadministrationRecords relating to the misadministration of byproduct material or radiation from byproduct material.Includes, but is not limited to:* Doses that differ from the prescribed dose by twenty percent or more;
* Doses that exceed dose equivalents;
* Doses to skin, an organ, or tissue other than the treatment site.
 | **Retain** for 8 years after date of event *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62566Rev. 0 | Occupational and Public Dose/Exposure – ReportsRecords relating to activities, program reviews, measurements, and calculations which may be necessary to determine the extent of occupational and/or public exposure from sources of radiation as required in WAC 246-221-230.Includes, but is not limited to:* Records on Department of Health Form RHF-5 or RHF-5A, or equivalent, of doses received by all individuals for whom monitoring is required pursuant to WAC 246-221-090 and/or 246-221-100;
* Records of doses received during planned special exposures, accidents, and/or emergency conditions;
* Specific information used to calculate the committed effective dose equivalent pursuant to WAC 246-221-040(3);
* Results of surveys to determine the dose from external sources of radiation used in the absence of, or in combination with, individual monitoring data, in the assessment of individual dose equivalents;
* Results of measurements and calculations used to determine individual intakes of radioactive material used in the assessment of internal dose;
* Records showing results of air sampling, surveys, and bioassays required pursuant to WAC 246-221-117;
* Results of measurements and calculations used to evaluate the release of radioactive effluents to the environment.
 | **Retain** for 30 years after termination of last pertinent license or registration *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62567Rev. 0 | Occupational and Public Dose/Exposure – Working FilesRecords used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent as required in WAC 246-221-230(9)(b).Note: WAC 246-221-230(9) requires the retention of public dose/exposure working files for three years after date of document. | **Retain** for 3 years after completion of report *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62568Rev. 0 | Patient Releases – RadiationRecords relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122.Note: WAC 246-240-578 requires the retention of records relating to the release of individuals containing unsealed radioactive material or implants for 3 years. | **Retain** for 3 years after patient release *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62569Rev. 0 | Program Approvals/ChangesRecords relating to management approvals of radiation program licensing, workers, or program changes in accordance with WAC 246-240-551 or WAC 246-240-554. | **Retain** for 5 years after date of document/approval *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62570Rev. 0 | Public Dose Limit ComplianceRecords documenting compliance with public dose limits for individuals as required by WAC 246-221-060(4).Note: WAC 246-221-230(8)(b) requires the retention of records documenting compliance with public dose limits for individuals until termination of last pertinent license or registration. | **Retain** until termination of last pertinent license or registration *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62571Rev. 0 | Radiation DosesRecords relating to the administration of radiation doses for which written directives are required. | **Retain** for 3 years after administration of dose *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62572Rev. 0 | Radiopharmaceutical AssaysRecords relating to assays of radiopharmaceuticals. | **Retain** for 2 years after date of assay *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62573Rev. 0 | Source Surveys and TestsRecords relating to the survey and/or testing of byproduct sources or byproduct source doses.Includes, but is not limited to:* Surveys of implanted brachytherapy sources in accordance with 10 CFR 35.406(d);
* Byproduct dose activity measurements performed in accordance with WAC 246-240-107;
* Leak test records of sealed or brachytherapy sources performed in accordance with WAC 246-240-113(1);
* Radiopharmaceutical concentration testing of molybdenum-99, strontium-82, and/or strontium-85 in accordance with WAC 246-240-160.
 | **Retain** for 3 years after date of survey/measurement *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62574Rev. 0 | Surveys – GeneralRecords relating to radiation surveys performed to evaluate the radiological conditions and potential hazards incident to the production, use, release, disposal, or presence of radiation sources.Includes, but is not limited to:* Ambient radiation exposure surveys performed in accordance with WAC 246-240-119;
* General surveys as required by WAC 246-221-110 and/or 246-220-040;
* Hot lab surveys;
* Mobile medical services surveys performed in accordance with WAC 246-240-125(1)(b) and/or 246-240-125(1)(d);
* Mobile nuclear medicine surveys;
* Package surveys as required in WAC 246-221-160;
* Surveys of patients, human research subjects, and/or remote afterloader units in accordance with WAC 246-240-354 prior to patient release to confirm that the radiation source(s) has been removed from the patient or subject and returned to the safe shielded position;
* Working reception surveys.
 | **Retain** for 3 years after date of survey *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62575Rev. 0 | Written Directives – AuthorizationsWritten directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060.Note: WAC 246-240-557 requires the retention of written directives for the administration of radioactive material for 3 years. | **Retain** for 3 years after date of directive *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62576Rev. 0 | Written Directives – DosesRecords relating to the administration of radiation doses for which written directives are required. | **Retain** for 3 years after administration of dose *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62577Rev. 0 | Written Directives – ProceduresProcedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063.Note: WAC 246-240-560 requires the retention of procedures for any administration of radioactive material requiring a written directive for the duration of the authorized user’s license. | **Retain** for the duration of the authorized user’s license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. HOSPITAL SUPPORT SERVICES

The function of providing services which support the primary mission of the public hospital.

*See the* ***State Government General Records Retention Schedule*** *for additional community relations records.*

| * 1. FOOD SERVICES

The activity of providing food services for patients, staff, and the public. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62579Rev. 1 | Menus – CafeteriaRecords relating to menus for hospital cafeterias.  | **Retain** for 1 year after last date menu offered *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62581Rev. 2 | Patient MealsRecords relating to the provision of meals to patients by kitchen staff including patient-specific dietary orders or requests, menus, and meal counts.Excludes records incorporated into the Electronic Health Record, covered by:* *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
* *Patient Medical Records – Under Age 18 (DAN 11-08-62562)*.
 | **Retain** for 3 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. QUALITY ASSURANCE AND COMPLIANCE

The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 14-12-68725Rev. 1 | ***Clinical Accreditation***Records relating to the process of requesting or maintaining a national, state, or other mandatory or voluntary accreditation, certificate, or license, and the documentation related to the approval or denial. Includes, but is not limited to:* Questionnaires and surveys;
* Planning documents;
* Policies and procedures;
* Performance measures;
* Statistics.
 | **Retain** for 6 years after accreditation, certificate, or licensure ends *or*until superseded by new accreditation, *whichever is longer* *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 14-12-68726Rev. 1 | ***Clinical Engineering/Medical Equipment Records***Records documenting the inspection, ongoing maintenance, repair, and updating of hospital medical devices and equipment, including diagnostic imaging equipment, vital signs monitors, and life support systems. Also includes records documenting medical equipment preparedness used to ensure the equipment’s safety and efficiency, maintenance history, and to show that supplies and equipment are ready and available.Includes, but is not limited to:* Initial inspections of medical equipment;
* Safety checks of medical equipment;
* Emergency equipment checklists.

Excludes records covered by:* *Durable Medical Equipment, Prosthetics, Orthotics and Supplies (DAN 18-04-69200).*
 | **Retain** for 8 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62591Rev. 1 | ***Clinical Guidelines and Protocols***Records relating to the UW Medicine produced clinical guidelines and/or protocols for the assessment and treatment of particular conditions.  | **Retain** for 8 years after obsolete or superseded *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62584Rev. 2 | ***Compliance Investigations***Records relating to the discovery, assessment, management and response to alleged violations of federal or state laws and regulations. This includes unauthorized access, disclosure, modification, and destruction of confidential information (e.g. PII & PHI), and billing, privacy, Emergency Medical Treatment and Labor Act (EMTALA), and other investigations and audits. Includes all records of electronic and physical format. Excludes records covered by:* *Computer Forensic Investigations (DAN 18-04-69199)*.
 | **Retain** for 10 years after end of investigation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62586Rev. 2  | ***Compliance Training***Records relating to compliance training programs provided by the agency. Includes, but is not limited to, curricula, worksheets, presentations, planning materials, attendance, and/or transcripts.  | **Retain** for 10 years after superseded *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 18-08-69303Rev. 0 | Healthcare Programs Exclusion ScreeningRecords relating to the screening of workforce and vendors to ensure that these individuals are not excluded from providing services under federal healthcare programs, such as Medicare or Medicaid, or under state-level healthcare programs.   | **Retain** for 10 years after date of screening *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62587Rev. 2 | Medical Staff Credentialing/Privileging/EnrollmentRecords relating to reviews of practitioners’ qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, quality improvement documentation, and payer enrollment applications, determinations, and contracts.Excludes records covered by:* *Personnel – Employment History Files (DAN GS 03042).*

Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners. | **Retain** for 8 years after termination of employment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62582Rev. 2 | ***Patient Medical Records – Authorized Disclosures and Amendments***Records relating to authorized access to and disclosures of medical records and other personal health information, including release of information. Also includes records relating to requests and responses to changes and amendments to medical records and other personal health information. Excludes changes and amendments that have become part of the patient medical record covered by:* Patient Medical Records – Age 18 and Over (DAN 11-08-62561);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).
 | **Retain** for 7 years after date of disclosure or amendment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68951Rev. 1 | ***Quality Assurance Records – Age 18 and Over***Records relating to quality improvement and patient safety in health care services, and the identification and prevention of medical malpractice. Excludes records covered by *Medical Staff Credentialing/Privileging/Enrollment (DAN 11-08-62587)*. | **Retain** for 8 years after end of calendar year *or*date of final report, *whichever is longer* *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68952Rev. 1 | ***Quality Assurance Records – Under Age 18***Records relating to quality improvement and patient safety in health care services, and the identification and prevention of medical malpractice. Excludes records covered by *Medical Staff Credentialing/Privileging/Enrollment (DAN 11-08-62587)*. | **Retain** for 26 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62590Rev. 0 | Radiation Protection Program Audits and ReviewsRecords relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005.Note: WAC 246-221-230(9)(e) requires the retention of radiation protection program audit and review records for 3 years. | **Retain** for 3 years after completion of audit/review *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. REPORTING

The activity of reporting information to external agencies or organizations. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62592Rev. 0 | Baptismal RegistriesLogs or registries documenting baptisms performed in the hospital. | **Retain** until no longer needed for agency business *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-08-62593Rev. 0 | Birth/Death RegistersRegisters documenting summary information about births or deaths which have occurred in the hospital. | **Retain** until no longer needed for agency business *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-08-62594Rev. 0 | Vital Statistics Supporting DocumentationRecords relating to the reporting of vital events/statistics to the Washington State Department of Health. | **Retain** for 1 year after vital event reported to Washington State Department of Health *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. HUMAN RESOURCE MANAGEMENT

The function of managing the hospitals’ workforce, where not covered by the *State Government General Records Retention Schedule*.

| * 1. PERFORMANCE MANAGEMENT

The activity of assessing and directing employee progress toward performance goals. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62596Rev. 1 | Physician Call SchedulesSchedules documenting on-call schedules for hospital physicians.Excludes records covered by *Staff Plans/Schedules (DAN 11-08-62595)*.Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules. | **Retain** for 5 years after superseded *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62597Rev. 0 | Radiation Safety OfficerRecords relating to the authority, duties, and responsibilities of the radiation safety officer.Note: WAC 246-240-551(2) requires the retention of records relating to the authority, duties, and responsibilities of radiation safety officers until termination/expiration of medical use license. | **Retain** until termination/expiration of medical use license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62595Rev. 3 | Staff Plans/SchedulesStaff plans, daily assignments, and other scheduling records for nurses, social workers, and/or other medical staff.Excludes records covered by Physician Call Schedules (DAN 11-08-62596). | **Retain** for 4 years after end of calendar year  *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. PERSONNEL

The activity of documenting and individual’s employment with the agency. Includes volunteers. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62598Rev. 2 | Blood/Tissue Bank EmployeesQuality assurance and training records relating to blood/tissue bank employees.Excludes records covered by:* *Personnel – Employment History Files (DAN GS 03042).*

Note: The College of American Pathologists recommends the retention of blood bank records relating to employees for 10 years. | **Retain** for 10 years after termination of employment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-04-69203Rev. 0 | Medical Residents, Fellows, and InternsRecords relating to participants in a residency, fellowship, or internship program. Includes, but is not limited to, application materials, letters of recommendation, appointments, evaluations, and certificates of completion. | **Retain** for 60 years after completion of or withdrawal from program *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

| * 1. STAFF DEVELOPMENT/TRAINING

The activity of enhancing employees’ competencies and skills through programs and training. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62599Rev. 0 | Instruction/Training – Occupational DosesRecords relating to the provision of instruction on occupational radiation doses for employees who work in radiation areas for which notification of destruction eligibility has been received from the Department of Health.Note: WAC 246-222-030(2) requires the retention of records relating to worker receipt of instructions regarding occupational doses of radiation until further notice from Washington State Department of Health. | **Retain** until no longer needed for agency business *then***Destroy**.  | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62600Rev. 0 | Instruction/Training – Radiation ProtectionRecords documenting the provision of safety instruction to personnel who operate remote afterloader units, teletherapy units, or gamma stereotactic radiosurgery units in accordance with WAC 246-240-204, 246-240-263, or 246-240-360, or who care for patients receiving brachytherapy, radiopharmaceutical therapy, and/or teletherapy.Note: WAC 246-240-590 requires the retention of records of safety instruction for 3 years. | **Retain** for 3 years after date instruction completed *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62601Rev. 0 | Medical Use LicensesRecords relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11.Includes, but is not limited to:* Byproduct material medical use licenses;
* Radioactive materials general and specific licenses.
 | **Retain** for 8 years after termination of employment *then***Destroy**.  | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

1. LABORATORY AND PATHOLOGY MANAGEMENT

The function of providing laboratory and pathology services for the assessment and diagnosis of illness, disease, and death.

*Note: For the retention of laboratory and/or pathology specimens, Washington State Archives recommends agencies refer to the retention guidelines issued by the American Association of Blood Banks (AABB), the College of American Pathologists (CAP), the Clinical Laboratory Improvement Amendments (CLIA), and applicable state and federal codes and regulations.*

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 11-08-62609Rev. 3 | Anatomic Pathology Test ReportsPreliminary, corrected, and final reports derived from the diagnostic examination of organs, tissues, and other pathological specimens and images. Includes, but is not limited to:* Surgical pathology reports;
* Histopathology reports;
* Oral pathology reports.

Excludes records covered by Laboratory and Pathology Testing Records (DAN 18-08-69305).Note: WAC 246-338-070 requires the retention of pathology test reports for 10 years.  | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62613Rev. 1 | Blood and Blood Products – Donor and Recipient RecordsRecords documenting health, social, and other information about donors and recipients of blood, blood components, and/or blood products. Includes, but is not limited to:* Recipient consents;
* Donor and recipient identifying information;
* Donor and recipient medical and social history.

Excludes records covered by:* Patient Medical Records – Age 18 and Over (DAN 11-08-62561);
* Patient Medical Records – Under Age 18 (DAN 11-08-62562).

Note: The American Association of Blood Banks (AABB) recommends a 10-year retention for blood and blood product donor or recipient records. | **Retain** for 10 years after final donation/receipt *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69294Rev. 0 | Blood Bank and Transfusion Medicine Proficiency Testing and Biannual Verification RecordsRecords relating to the process of ensuring the quality of a blood bank’s testing processes and results through the testing of external specimens and reporting out of results for grading/evaluation (i.e., proficiency testing), or through alternative biannual testing processes. Excludes records covered by Laboratory and Pathology Proficiency Testing and Biannual Verification Records (DAN 18-08-69304).  | **Retain** for 5 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69295Rev. 0 | Blood Bank and Transfusion Medicine Testing ProceduresRecords relating to test procedures implemented within blood banks or transfusion services. Excludes records covered by Laboratory and Pathology Testing Procedures (DAN 11-08-62607). | **Retain** for 5 years after procedure has been discontinued *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69296Rev. 0 | Blood Bank and Transfusion Medicine Testing RecordsRecords documenting the storage, typing, testing, processing, and transfusion of blood, blood components, and/or blood products. Includes, but is not limited to:* Blood, blood component, and blood product order/release forms;
* Test requisitions and authorizations;
* Test worksheets and logs;
* Typing and cross-matching/compatibility records;
* Equipment/instrument calibration and maintenance records;
* Specimen identification and tracking records;
* Quality control and assurance records;
* Test results and reports.

Excludes records covered by:* Anatomic Pathology Test Reports (DAN 11-08-62609);
* Clinical Autopsy Test Reports (DAN 18-08-69298);
* Cytology Test Reports (DAN 11-08-62619);
* Laboratory and Pathology Testing Records (DAN 18-08-69305).
 | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69297Rev. 0 | Blood Bank and Transfusion Medicine Validation Testing RecordsRecords relating to validation studies or tests of blood bank instruments, software, hardware, or methods carried out to ensure the accurate reporting of test results. Excludes records covered by Laboratory and Pathology Validation Testing Records (DAN 18-08-69306). | **Retain** for 10 years after life of instrument, software, hardware, or method *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69298Rev. 0 | Clinical Autopsy Test ReportsRecords resulting from post-mortem examinations conducted to determine the cause, mechanism, and manner of a person’s death from natural causes. Excludes records covered by:* Forensic Autopsy Records (DAN 18-08-69302);
* Laboratory and Pathology Testing Records (DAN 18-08-69305).

Note: The College of American Pathologists (CAP) recommends the retention of clinical autopsy test reports for 10 years. | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62616Rev. 1 | Cytogenetic Diagnostic Images and Final ReportsFinal reports and diagnostic images resulting from cytogenetic examinations. Note: The College of American Pathologists (CAP) recommends a 20-year retention for diagnostic images and final reports derived from cytogenetic analysis. | **Retain** for 20 years after date of final report *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62619Rev. 1 | Cytology Test ReportsReports resulting from the examination of cells for the purposes of detecting cellular abnormalities and diagnosing health conditions, including cancer. Excludes records covered by Laboratory and Pathology Testing Records (DAN 18-08-69305).Note: WAC 246-338-070 requires the retention of cytology reports for 10 years. | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-08-69302Rev. 0 | Forensic Autopsy RecordsRecords relating to post-mortem examinations conducted to determine the cause, mechanism, and manner of a person’s death, particularly when such a death may have resulted from unnatural causes. Includes, but is not limited to:* Autopsy accession/test logs;
* Gross injury/trauma photographs and negatives;
* Test results and final reports.

Excludes records covered by Clinical Autopsy Test Reports (DAN 18-08-69298).Note: The College of American Pathologists (CAP) recommends the permanent retention of forensic autopsy records. | **Retain** for the life of the agency *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-08-62617Rev. 1 | Gated Dot Plots and HistogramsRecords relating to flow cytometry testing involving the use of gated dot plots or histograms. Note: The College of American Pathologists (CAP) recommends a 10-year retention for gated dot plots and histograms. | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-08-69304Rev. 0 | Laboratory and Pathology Proficiency Testing and Biannual Verification RecordsRecords relating to the process of ensuring the quality of a laboratory’s testing processes and results through the testing of external specimens and reporting out of results for grading/evaluation (i.e., proficiency testing), or through alternative biannual testing processes. Excludes records covered by Blood Bank and Transfusion Medicine Proficiency Testing and Biannual Verification Records (DAN 18-08-69294).Note: 42 CFR 493.1105 and WAC 246-338-070 require the retention of proficiency testing records for 2 years. | **Retain** for 2 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62607Rev. 1 | Laboratory and Pathology Testing ProceduresRecords relating to test procedures implemented within the laboratory setting. Excludes records covered by Blood Bank and Transfusion Medicine Testing Procedures (DAN 18-08-69295).Note: 42 CFR 493.1105 and WAC 246-338-070 require the retention of test procedures for 2 years after the procedure has been discontinued within the laboratory.  | **Retain** for 2 years after procedure has been discontinued *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69305Rev. 0 | Laboratory and Pathology Testing RecordsRecords relating to documenting, tracking, and testing clinical specimens for the purposes of assessing and diagnosing health conditions. Includes microbiology, chemistry, hematology, virology, and other specialties, unless otherwise specified. Includes, but is not limited to:* Accession/test logs;
* Test requisitions and authorizations;
* Test worksheets and logs;
* Equipment/instrument calibration and maintenance records;
* Specimen identification and tracking records;
* Quality control and assurance records;
* Test results and reports.

Excludes records covered by:* Anatomic Pathology Test Reports (DAN 11-08-62609);
* Blood Bank and Transfusion Medicine Testing Records (DAN 18-08-69296);
* Clinical Autopsy Test Reports (DAN 18-08-69298);
* Cytology Test Reports (DAN 11-08-62619).

Note: 42 CFR 493.1105 and WAC 246-338-070 require the retention of these records for 2 years. | **Retain** for 2 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-08-69306Rev. 0 | Laboratory and Pathology Validation Testing RecordsRecords relating to validation studies or tests of laboratory instruments, software, hardware, or methods carried out to ensure the accurate reporting of laboratory test results. Excludes records covered by Blood Bank and Transfusion Medicine Validation Testing Records (DAN 18-08-69297). | **Retain** for 2 years after life of instrument, software, hardware, or method *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

1. PHARMACY MANAGEMENT

The function relating to the management of pharmacies that are part of public hospitals.

| * 1. ADMINISTRATION

The activity of providing for the general administration of public hospital pharmacies. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62624Rev. 0 | ***Batch Data***Records relating to laboratory data on each batch of drug received in accordance with WAC 246-895-150. | **Retain** for 50 years after completion/cessation of batch distribution *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62622Rev. 2 | Patient Profile and Medication Records – Age 18 and OverRecords relating to the filling and dispensing of medication for each patient age 18 and over receiving prescription medication from the pharmacy. Includes, but is not limited to:* Client details;
* Parenteral products dispensed;
* Dates and details of dispensations;
* Pharmacist identification;
* Client notes, diagnoses, and conditions;
* Prescription and refill records.
 | **Retain** for 10 years after last provision of health-related services *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62623Rev. 2 | Patient Profile and Medication Records – Under Age 18Records relating to the filling and dispensing of medications for each patient under age 18 receiving prescription medication from the pharmacy. Includes, but is not limited to:* Client details;
* Parenteral products dispensed;
* Dates and details of dispensations;
* Pharmacist identification;
* Client notes, diagnoses, and conditions;
* Prescription and refill records.
 | **Retain** for 10 years after patient attains age 18 *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

| * 1. DRUG ACCOUNTABILITY

The activity of documenting the pharmacy’s acquisition, use, and disposition of pharmaceutical drugs. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62625Rev. 0 | ***Home Dialysis Program – Drug Shipment***Records relating to the shipment of drugs to persons on home dialysis programs in accordance with WAC 246-905-040. | **Retain** for 2 years after date of shipment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62626Rev. 0 | ***Legend Drug Orders***Records relating to legend drug orders created in accordance with WAC 246-904-030. | **Retain** for 6 years after date of purchase *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62627Rev. 3 | ***Pharmaceutical Inventory Accountability***Records relating to the pharmacy’s acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances and those maintained in Automated Drug Dispensing Devices (ADDD).Includes, but is not limited to:* Drug registers, formularies, and inventories;
* Signature logs.
 | **Retain** for 10 years after date of distribution/destruction *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62628Rev. 0 | ***Pharmaceutical Wholesaler Inventories***Inventory and transaction records maintained by wholesale drug distributors regarding the receipt, distribution, or disposition of prescription drugs in accordance with WAC 246-879-040. | **Retain** for 2 years after date of creation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62629Rev. 0 | Schedule V Drugs DispensedRecords documenting the dispensing of Schedule V drugs. | **Retain** for 6 years after date dispensed *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-08-62630Rev. 0 | ***Compounding Practices***Reports relating to the evaluation and implementation of compounding best practices and procedures in compounding pharmacies. | **Retain** for 2 years after date of report *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62631Rev. 0 | ***Drug Distribution*** ErrorsReports created in accordance with WAC 246-873-080(11) documenting drug distribution errors reported to a prescribing practitioner and/or pharmacy. | **Retain** for 6 years after date of report *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62632Rev. 0 | ***Home Dialysis Program Quality Assurance***Records created in accordance with WAC 246-905-050 relating to quality assurance programs for home dialysis and related drug distribution error, loss, damage, and theft records.  | **Retain** for 6 years after date of shipment *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62633Rev. 0 | ***Monthly Inspections – Hospital/Nursing Care Units***Records relating to the monthly inspection of nursing care units or other areas of hospitals in which medications are dispensed, administered or stored in accordance with WAC 246-873-080(1)(b). | **Retain** for 3 years after date of inspection *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62634Rev. 0 | ***Parenteral Product Contamination Testing***Records relating to the testing of parenteral products for microbial contamination and other inadequacies in accordance with WAC 246-871-080.Includes, but is not limited to:* Quality assurance records documenting medication errors, adverse drug reactions, patient satisfaction, and product sterility;
* Documentation of sampling tests for contamination;
* End product testing where bulk compounding of parenteral solutions is performed utilizing non-sterile chemicals;
* Documentation justifying chosen expiration dates for compounded parenteral products.
 | **Retain** for 6 years after date of document *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 11-08-62635Rev. 1 | Pharmaceutical Complaints and InvestigationsRecords of written and oral complaints regarding pharmaceutical products, and related investigation records. *Note: Retention based on requirements in accordance with WAC 246-895-160.* | **Retain** for 2 years after distribution of drug has been completed *or*1 year after expiration of drug, *whichever is longer* *then***Destroy.** | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62636Rev. 0 | Pharmacy Policy, Procedure, and Training ManualsManuals of pharmacy policies and procedures which ensure patient health, safety, and welfare, as well as training manuals for pharmacy employees, as described in WAC 246-871-050. | **Retain** for 2 years after superseded *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62637Rev. 0 | ***Regulated Chemical Tableting***Transaction and Drug Enforcement Agency reporting records for regulated transactions involving listed chemicals, a tableting machine, or an encapsulating machine in accordance with 21 CFR 1310.03, 1310.04 and 1310.05. | **Retain** for 2 years after date of transaction *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62638Rev. 0 | ***Returned Pharmaceuticals***Records relating to pharmaceuticals returned to the pharmacy and any related examination or testing performed on such pharmaceuticals in accordance with WAC 246-895-060(10). | **Retain** until termination of pharmacy license *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62639Rev. 0 | ***Therapeutically Equivalent Drug Substitution***Records documenting prior authorization for therapeutically equivalent drug substitution in accordance with WAC 246-899-030(3). | **Retain** for 10 years after patient’s last discharge *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. RESEARCH MANAGEMENT

The function and activities related to managing or performing human subject research/clinical trials.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
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| 11-08-62640Rev. 0 | Bioavailability/Bioequivalence Samples – Food and Drug Administration Application ApprovedReserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where a Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38. | **Retain** for 5 years after date on which Food and Drug Administration application or supplemental application is approved *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62641Rev. 0 | Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application ApprovedReserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where no Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38. | **Retain** for 5 years after date of completion of the bioavailability study *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62642Rev. 0 | Device TrialsRecords relating to investigational medical device clinical trials retained in accordance with 21 CFR 812.140.Includes, but is not limited to:* Investigator records of receipt, use, shipment, or disposition of an investigational device;
* Investigator protocols and documentation showing dates and reasons of deviation from protocol;
* Sponsor records of device shipment and disposition;
* Signed investigator agreements;
* Sponsor records concerning adverse device effects;
* Other records required to be maintained by the Food and Drug Administration.
 | **Retain** for 2 years after date investigation completed/terminated *and*2 years after records are no longer required as supporting documentation for premarket approval application or a notice of completion of a product development protocol *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 15-03-68736Rev. 0 | Human Subject Research – Consent Forms (Adults)Records relating to the permission granted by adult subjects to participate in human subject research or clinical studies/trials. Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB). | **Retain** for 6 years after close of study *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 15-03-68737Rev. 0 | Human Subject Research – Consent Forms (Minors)Records relating to the permission granted by parents, legal guardians, or other adults for children (usually under the age of 18) to participate in human subject research, as well as records of assent by children for participation in human subject research. Note: Minors are defined for specific studies by applicable state, national, and international laws.Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB). | **Retain** for 6 years after close of study *or*3 years after subject reaches 18, *whichever is longer* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 15-03-68738Rev. 0 | Human Subject Research – Financial RecordsFinancial and grant accounting records relating to human subject research, clinical trials/studies, and billing activities. Includes, but is not limited to:* Budget records and financial reports;
* Patient billing and receipts;
* Billing support and unresolved billing issues;
* Internal and external audits.

Note: Human subject research records related to patients are to be kept separate from their legal medical record.Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. | **Retain** for 10 years after final expenditure report submitted *or*10 years after quarterly or annual financial report submitted *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 15-03-68739Rev. 0 | Human Subject Research – HIPAA Authorization FormsRecords relating to the permission granted for access to or use of protected health information (i.e., medical records). Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. | **Retain** for 6 years after close of study *or*6 years after date authorization was last in effect, *whichever is longer* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62645Rev. 0 | Investigators’ Financial InterestRecords relating to the financing of clinical investigations or bioequivalence studies from which data are intended to be submitted to the Food and Drug Administration as part of an application for market approval, retained in accordance with 21 CFR 320.36(b) or 21 CFR 54.6.Includes, but is not limited to:* Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR 54.4(a)(3)(i);
* Records showing significant payments made by the sponsor to the investigator as described in 21 CFR 54.4(a)(3)(ii);
* Records showing financial interests held by clinical investigators as described in 21 CFR 54.4 (a)(3)(iii).
 | **Retain** for 6 years after conclusion of pertinent investigational activities *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62646Rev. 0 | In Vivo/In Vitro Batch TestsRecords relating to in vivo or in vitro tests conducted on any marketed batch of a drug product to assure it meets bioequivalence requirements, retained in accordance with 21 CFR 320.36(a). | **Retain** for 2 years after expiration date of the batch a*nd*2 years after submitted to the Food and Drug Administration  *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 15-03-68740Rev. 0 | Research Records and DataRecords relating to research and data collection methods, as well as to the management and implementation of human subject research activity, including clinical trials or studies (all phases) and human subject research that has “exempt” status. Includes, but is not limited to: research or grant proposal and related documentation; research protocols and instruction documentation; data gathering, responses, (e.g., interviews, notes, questionnaires, abstracted or summarized information), evaluations and research analysis; summary documentation; reports; case history records; logs; forms; PI notes; lab manuals and notebooks; non-study-specific guidelines, protocols, checklists; contracts and other agreements; pre-site documentation; study close out documentation; and all correspondence. Also includes records relating to non-financial compliance activity and industry, federal, state, non-profit, or international regulatory requirements regarding human subject research, including clinical trials or studies (all phases). This includes, but is not limited to: IRB or IRB subcommittee applications, forms and documentation; non-competing renewal documentation; delegation documentation; subject recruitment, screening, selection and eligibility documentation; identifiers collected as part of the research (such as name and birthdate); required training documentation; safety documentation; confidentiality documentation, data and safety monitoring reports; records related to adverse events, data breaches, non-compliance issues, and any unanticipated problems; records related to external monitoring or auditing of research activity; records associated with specialized compliance requirements such as Radiation Safety, Institutional Biosafety, FERPA, Clinical Laboratory Improvement Amendments (CLIA) laboratory certification, and use of embryonic stem cells (Embryonic Stem Cell Research Oversight (ESCRO)). | **Retain** for 6 years after close of study *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| *Continued next page* | *Continued next page* | *Continued next page* | *Continued next page* |
| 15-03-68740Rev. 0*Continued from previous page* | *Continued from previous page*May also include any records created or gathered during the course of anticipating research activity, but due to lack of funds or termination by sponsor, the trial or study was not opened and human subjects were not enrolled. Excludes research requiring FDA approval or involvement, and consent/assent forms or HIPAA authorizations. *Note: Human subject research records related to patients are to be kept separate from their legal medical record.**Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.**Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB).* | *Continued from previous page* | *Continued from previous page* |
| 15-03-68741Rev. 0 | Research Records: DeliverablesRecords or products developed or produced as the result of research activity, including those funded by research grants or grant agreements. Includes, but is not limited to:* Reports, studies, surveys;
* Educational materials;
* Prototypes;
* Publications, videos, records, and multi-media materials.

Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. | **Retain** for 6 years after close of study *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 11-08-62647Rev. 0 | ***Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)***Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has been filed.Includes, but is not limited to:* Case report forms and supporting data;
* Signed and dated consent forms;
* Medical records.

*Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years following the date Food and Drug Administration marketing applications is approved for the drug being investigated.* | **Retain** for 2 years after date marketing application is approved *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62648Rev. 0 | ***Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)***Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has not been filed.Includes, but is not limited to:* Case report forms and supporting data;
* Signed and dated consent forms;
* Medical records.

*Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years after the investigation is discontinued and the Food and Drug Administration is notified.* | **Retain** for 2 years after investigation is discontinued and the Food and Drug Administration is notified *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 11-08-62643Rev. 0 | Trial Drug Management – Food and Drug Administration Application ApprovedRecords relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has been approved.Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a Food and Drug Administration marketing application is approved. | **Retain** for 2 years after date marketing application is approved *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-08-62644Rev. 0 | Trial Drug Management – No Food and Drug Administration Application ApprovedRecords relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has not been approved.Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after shipment and deliver of the drug for investigational use is discontinued and the Food and Drug Administration has been notified. | **Retain** for 2 years after investigation is discontinued and the Food and Drug Administration notified *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. STUDENT MANAGEMENT

The function of managing and providing student services.

| * 1. STUDENT TRAINING

The activity of educating and training students. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 14-12-68727Rev. 0 | ***Paramedic Student Records***Records relating to the training of paramedic students. Includes, but is not limited to, application materials, progress reports, fieldwork documentation, student evaluations, course exams, log books, block information, and student completion certificates and/or letters. | **Retain** for 10 years after graduation *or*last contact with student, *whichever is longer* *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 14-12-68728Rev. 0 | ***Paramedic Training Program Records***Records relating to paramedic training programs. Includes, but is not limited to, course planning, schedules, curricula, assessments, and other materials related to program courses. Also includes course submission and approval documentation, course and instructor evaluations, facility and equipment descriptions, student handbooks, and class lists. | **Retain** for 10 years after end of calendar year *or*until superseded, *whichever is longer* *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**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. |
| ***Local Records Committee*** |
| Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee’s three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor. |
| ***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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