



STATE OF WASHINGTON

LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

March 31, 2011 – 10:00 a.m.
Archives Conference Room

1129 Washington St SE, Olympia, WA, 98504

DRAFT AGENDA

I. ROUTINE ITEMS

- A. Call to Order
- B. Introduction of Guests
- C. Approval of Minutes for January 27, 2011
- D. Adoption of Today's Agenda

II. OLD BUSINESS/ACTION ITEMS

- A. *Public Hospital Districts Records Retention Schedule Version 5.0*

III. NEW BUSINESS/ACTION ITEMS

- B. Agency Uniques – Russell Wood

IV. WASHINGTON STATE ARCHIVES UPDATES

- A. Revision of Records Retention Schedules – Julie Woods
 - i. CORE Asset Management
 - ii. JUSTICE
- B. Destruction after Digitization (DAD) Applications – Russell Wood
- C. Announcements from the State Archivist – Jerry Handfield

V. NEXT MEETING – May 26, 2011, 10am

VI. ADJOURNMENT



STATE OF WASHINGTON
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PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

January 27, 2011 – 10:00 a.m.
State Archives Conference Room
1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Mark Rapozo (Chair) – State Auditor’s Office, Cindy Evans – Attorney General’s Office, Jerry Handfield – State Archivist.

Staff Present: Russell Wood – State Records Manager, Julie Woods – Local Government Records Management Specialist, Megan Bezzo – Electronic Records Management Consultant, Patrick Williams – Local Government Grants Coordinator, Debbie Bahn and Kerry Barbour – Digital Archives (via Poly-Com).

Guests Present: Laura Edgar – King County, Teri Wiseman – King County, Patricia Holmquist – King County, Tri Howard – Port of Tacoma, Ben Lindekugel – Association of Washington Public Hospital Districts.

I. ROUTINE ITEMS

A. Call to Order

Mark Rapozo called the meeting to order at 10:00 a.m.

B. Introduction of Guests

C. Approval of Minutes for December 2, 2010

Motion to adopt the December 2, 2010 minutes as presented with corrections submitted by Jerry Handfield: Evans; seconded by Handfield.

Resolution: Motion carried

D. Adoption of January 27, 2011 Agenda

Motion to adopt the agenda as presented; Evans, seconded by Rapozo.

Resolution: Motion carried

II. NEW BUSINESS/ACTION ITEMS

A. Health Departments and Districts Records Retention Schedule (RRS) Version 4.0 - Megan Bezzo

Bezzo announced that she made a few minor editing and punctuation changes to the agenda packet draft, and she expressed appreciation to King County for providing helpful feedback.

Evans cautioned that this RRS does not include accreditation or outside best practices, but merely states the *minimum* retention requirements, and it should be reviewed in cooperation with other requirements. She requested that a note be added to the revision history table (and distributed via the local government listserv) to communicate that discontinued records are in limbo until the new *CORE* schedule is updated. Evans pointed out the RRS should be named “Public Health Departments and Districts” rather than “*Health Departments and Districts*”.

Motion to approve the *Public Health Departments and Districts Records Retention Schedule Version 4.0* as presented, with the revision of the title change and the addition of a note in the revision history; Evans: seconded by Handfield.

Resolution: Motion carried.

B. *Public Hospital Districts Records Retention Schedule (RRS) Version 5.0*

Bezzo announced that she made a few minor editing and punctuation changes to the agenda packet draft. The RRS includes series covering bodily fluids and slides, and discussion ensued as to whether biological tissues are public records, and, if not, whether records series that cover non-public records should be included in the RRS.

The item was tabled, and the State Archivist will obtain legal council on whether biological tissues are public records, and whether they should be “covered” in a RRS.

Ben Lindekugal, from the Association of Washington Public Hospitals stated that Washington State Archives has fantastic staff who are helpful and meticulous. He briefly described the role of public hospitals in Washington, stating that there are fifty-four public hospital districts in the state, forty-one of them operating hospitals and the rest, clinics. They cover a large geographic region and represent half of the hospitals in the state. Thirty-one are critical access hospitals. Federal regulations must also be followed when dealing with records, and there are few staff with a large number of requirements. Hospitals try to comply, but the complexity makes compliance challenging. He expressed hope that these four points can be considered in future revisions:

- Include more general record *categories*.
- Include fewer *different* retention periods.
- Simplify the coordination between the *Public Hospital RRS* and the general RRS.
- Incorporate Federal and State requirements in RRS notes.

III. WASHINGTON STATE ARCHIVES UPDATES

A. Revision of Records Retention Schedules – Julie Woods

- i. **CORE Asset Management** – A reference group of agency representatives including transit authorities, auditors, counties, cities, school districts, public utilities, and the State Auditor’s office, met on January 13th to clarify definitions in the asset management section and work on revising two activities: planning, and authorization/certification. A draft schedule should be ready for the Committee in May.
- ii. **JUSTICE** – A small reference group is looking at records series covering juvenile offenders records which may be impacted by RCW 13.50.050, which mandates the destruction of certain records within 90 days of eligibility. King County and Thurston County have been helping to review the (potentially) affected series. Simultaneously, preliminary work has begun on removing sections covering the various “justice” functions and activities from the *Local Government General Records Retention Schedule (LGRRS)* and creating a JUSTICE RRS. The plan is to incorporate all facets of local government justice in Washington State, which will cover the records of the following: Superior Court, District and Municipal Court, Prosecuting Attorney and Assigned Council, and Coroner/Medical Examiner. Woods attended Thurston County’s “Justice at Work: Open Court” on January 5th, which was a public event aimed at educating citizens about the various courts, as well as the programs and services offered.

- iii. **Listserv announcement** – The Local government listserv now has 1,431 subscribers, which includes 156 new members since the last meeting.
- iv. **Newly elected official training** – Washington State Archives released a new webinar, which provides elected officials with a brief training on their public records responsibilities.

B. Destruction after Digitization (DAD) Applications – Russell Wood

An updated list has been posted on the website, and additions since the last Committee meeting include Thurston County and the Benton County Treasurer. As retention schedules are revised, approved DADs need to be updated to reflect changes to records series.

C. Announcements from the State Archivist – Jerry Handfield

- Handfield shared a news article about emails being lost in a system crash at a San Juan County office where, unfortunately, no backups of the records had been made.
- House Bill 1216 (introduced by Representatives Hudgins and Morris) relates to digital images on copy machine hard drives. Handfield met with a supporter to help direct them away from creating this bill, since the issue affects more than just copier machines.
- The Washington State Archives Digital Archives is applying for an additional grant through the Library of Congress to continue work with additional states in hosting state archive websites.
- Reductions in state funds will result in three additional layoffs at the WSA.
- Local Records Grants during the next biennium will continue provide awards to Local Government agencies for preserving their archival records and posting them online.
- The National Archives, National Historical Publications and Records Commission (NHPRC), extended an award to WSA for digitizing public records that have passed out of the possession of their office of origination.

IV. NEXT MEETING – January 27, 2011, 10am.

V. ADJOURNMENT

Motion to adjourn the meeting: Evans; seconded by Handfield

Resolution: Motion carried

The chair adjourned the meeting at 11:00 a.m.

A tour of the State Archives facility was offered upon adjournment.

CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:

I, Mark Rapozo, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on January 27, 2011 and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington, and that a quorum was present.

Chair Signature

Date

II. OLD BUSINESS/ACTION ITEMS

A. Public Hospital Districts Records Retention Schedule (Version 5.0)

- Summary of Factors



This schedule applies to: Public Hospital Districts

Scope of records retention schedule

This records retention schedule covers the public records of **public hospital districts** relating to the functions of agency management, asset and infrastructure management, financial management, health care and treatment, laboratory and pathology management, patient/client account management, pharmacy, and research. It is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

All current approved records retention schedules can be accessed online at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

Disposition of public records

Public records covered by record series within this records retention schedule 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 local resources.

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

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to 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 **Local Records Committee** in accordance with RCW 40.14.070 on March 31, 2011.

Signature on File

For the Attorney General: Cindy Evans

Signature on File

For the State Auditor: Mark Rapozo

Signature on File

The State Archivist: Jerry Handfield



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	1980s	Initial version.
2.0	1999	Major revision.
3.0	2001	Major revision and update.
4.0	March 26, 2009	Record series common to all local government agencies now appear in the new <i>Local Government Common Records Retention Schedule (CORE)</i> and have been removed from this schedule. All Disposition Authority Numbers (DANs) in the <i>Public Hospital Districts Records Retention Schedule</i> now begin with the prefix "HO"; there have been no changes to titles, descriptions, retention periods, or archival designations.
5.0	March 31, 2011	Revision of entire schedule, including series titles, descriptions, retention periods, and archival designations. Entire schedule has been reorganized and restructured. The "Secondary Copy" and "Remarks" columns have been removed and the entire schedule has been reformatted. Record series common to all local government agencies and covered by the <i>Local Government Common Records Retention Schedule (CORE)</i> have been removed.



TABLE OF CONTENTS

1. AGENCY MANAGEMENT 5
1.1 COMMUNITY RELATIONS..... 5

2. ASSET MANAGEMENT 6
2.1 DISPOSAL..... 6
2.2 INVENTORY 7
2.3 LEASING/USAGE..... 8
2.4 MAINTENANCE..... 9
2.5 PURCHASING/ACQUISITION..... 14

3. HEALTH CARE AND TREATMENT 15
3.1 DIAGNOSTIC AND MEDICAL IMAGING..... 15
3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT 18
3.3 PATIENT ADMINISTRATION..... 21
3.4 PATIENT BILLING 23
3.5 PATIENT MEDICAL RECORDS..... 25
3.6 RADIATION PROTECTION PROGRAM 28

4. HOSPITAL SUPPORT SERVICES 34
4.1 FOOD SERVICES..... 34
4.2 QUALITY ASSURANCE AND COMPLIANCE..... 35
4.3 REPORTING 39

5. HUMAN RESOURCE MANAGEMENT 40
5.1 PERFORMANCE MANAGEMENT 40
5.2 PERSONNEL..... 41
5.3 STAFF DEVELOPMENT/TRAINING 42

6. LABORATORY AND PATHOLOGY MANAGEMENT..... 43
6.1 LABORATORY (GENERAL)..... 43



6.2	BLOOD/TISSUE BANKS	49
6.3	CYTOGENETICS	51
6.4	FORENSIC PATHOLOGY	52
7.	PHARMACY MANAGEMENT.....	53
7.1	ADMINISTRATION	53
7.2	DRUG ACCOUNTABILITY.....	55
7.3	QUALITY ASSURANCE AND CONTROL.....	57
8.	RESEARCH MANAGEMENT.....	60
8.1	CLINICAL TRIALS	60
8.2	DIAGNOSTIC RESEARCH	65
8.3	INSTITUTIONAL REVIEW BOARDS	66
	GLOSSARY	68
	INDEX:.....	72



1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration, where not covered by *CORE*. Also includes managing the agency's interaction with its community, and legal matters.

See *CORE*'s **AGENCY MANAGEMENT** function for additional record series relating to general agency administration.

1.1 COMMUNITY RELATIONS

The activity of the local government agency interacting with its community.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	<p>Patient Relations</p> <p>Records relating to the agency's interactions with patients or their representatives, such as inquiries, complaints, and grievances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Inquiries/complaints/grievances received;• Documentation of agency response(s). <p>Excludes HIPAA-related complaints covered by HO2011-112.</p>	HO55-03V-04 Rev. 1	Retain for 8 years after inquiry/complaint/grievance <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



2. 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 CORE.

See CORE's **ASSET MANAGEMENT** function for additional record series relating to disposal, hazardous waste/environmental management, inventory, leasing/usage, and maintenance.

2.1 DISPOSAL

The activity of disposing of the local government agency's assets through sale or otherwise, where not covered by the Local Government Common Records Retention Schedule (CORE).

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.1	<p>Radioactive Material – Disposal Records relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil.</p> <p><i>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.</i></p>	HO55-03L-07 Rev. 1	Retain until termination of last pertinent license or registration <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.2	<p>Decay In Storage Records relating to the disposal of radioactive materials due to decay in storage pursuant to WAC 246-240-128.</p> <p><i>Note: WAC 246-240-584 requires the retention of records relating to the disposal of decay-in-storage radioactive material for 3 years.</i></p>	HO2011-074 Rev. 0	Retain for 3 years after date of final disposal <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.3	<p>Decay – Strontium-90 Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, pursuant to WAC 246-240-272.</p> <p><i>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.</i></p>	HO2011-075 Rev. 0	Retain for the life of the source <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.2 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.2.1	Mechanical Floor Stock Devices – Drug Removal Records relating to the removal of drugs from mechanical floor stock devices in accordance with WAC 246-869-120(6).	HO55-030-14 Rev. 1	Retain for 2 years after date of drug removal <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.2.2	Radiation Source Inventories Records relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572. <i>Note: WAC 246-240-572 requires the retention of records relating to physical inventories of sealed sources and brachytherapy sources for 3 years.</i>	HO2011-076 Rev. 0	Retain for 3 years after date of inventory <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.2.3	Radioactive Material – Acquisiton/Transfer Records relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material. <i>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.</i>	HO55-03L-08 Rev. 1	Retain for 3 years after disposal/transfer <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.3 LEASING/USAGE

The activity of acquiring or granting temporary authority to use goods, materials, or resources.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.3.1	<p><i>In-Home Equipment</i> Records 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).</p> <p><i>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.</i></p>	HO55-03X-01 Rev. 1	Retain for 8 years after equipment has been removed from patient residence <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.4.1	<p>Calibration – Brachytherapy Sources Records relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269.</p> <p><i>Note: WAC 246-240-599 requires the retention of records relating to the calibration of brachytherapy sources before medical use for 3 years.</i></p>	HO2011-077 Rev. 0	Retain for 3 years after last use of source <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.2	<p>Calibration – Dosimetry Equipment Records relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366.</p> <p><i>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.</i></p>	HO2011-078 Rev. 0	Retain for the duration of authorized user’s license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.3	<p>Calibration Expert Evaluations Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital.</p>	HO55-03L-66 Rev. 1	Retain for 5 years after expert’s performance of last full calibration <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.4	<p>Calibration Instructions – Image Receptors Records relating to calibration instructions for image receptor equipment.</p>	HO55-03L-19 Rev. 1	Retain until disposition of image receptor <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.4.5	<p><i>Equipment Calibration and Testing</i> Records relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material <i>where not covered by a more specific record series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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). <p><i>Note: WAC 246-240-566 requires the retention of survey instrument calibration records for 3 years.</i></p> <p><i>Note: WAC 246-240-614 requires the retention of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations for 3 years.</i></p> <p><i>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.</i></p>	HO55-03L-20 Rev. 1	Retain for 3 years after date of calibration/test <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.4.6	Equipment Sterilization/Infection Control Records relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use. Excludes sterilizer spore tests covered by HO2011-081.	HO55-03C-01 Rev. 1	Retain for 8 years after date of sterilization <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
2.4.7	Instructions - Manufacturer Instructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a).	HO2011-079 Rev. 0	Retain for duration of source use <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
2.4.8	Instructions/Procedures – Radiation Protection Written 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). <i>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.</i>	HO2011-080 Rev. 0	Retain for 3 years after disposition of equipment <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
2.4.9	Radiation Machine Registrations Records relating to the registration of radiation machines with the Department of health in accordance with Chapter 246-224 WAC.	HO55-03L-46 Rev. 1	Retain for 6 years after termination of registration <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.4.10	<p>Sterilizer Spore Tests Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030(11)(d). <i>Note: WAC 246-145-030(11)(d) requires the retention of records relating to sterilizer testing for at least 3 years.</i></p>	HO2011-081 Rev. 0	Retain for 3 years after date of test <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.11	<p>Surveys – Treatment Equipment Records relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390. <i>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.</i></p>	HO2011-082 Rev. 0	Retain for the duration of the use of the treatment unit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.12	<p>Teletherapy Calibration Calculations Records relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy.</p>	HO55-03L-64 Rev. 1	Retain until termination of equipment license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
2.4.13	<p>Teletherapy Five-Year/Source Replacement Inspections Records relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393. <i>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.</i></p>	HO55-03L-69 Rev. 1	Retain for the duration of the use of the unit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.4.14	<p>Teletherapy Source Installation Surveys Records 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.</p> <p><i>Note: 10 CFR 35.641(c) requires the retention of records relating to teletherapy source installation radiation measurements for the duration of the license.</i></p>	HO55-03L-68 Rev. 1	Retain until termination of equipment license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
2.4.15	<p>X-Ray/Electron Therapy Spot Checks Records relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130.</p> <p><i>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.</i></p>	HO2011-083 Rev. 0	Retain for 1 year after completion of spot check <i>and</i> for twice as long as spot check cycle <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.5 PURCHASING/ACQUISITION

The activity of acquiring assets through purchase or donation. Includes records documenting ownership of assets.

*See CORE's **ASSET MANAGEMENT – Purchasing/Acquisition** activity for record series relating to the purchasing/acquisition of agency assets.*

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.5.1	<p>Acceptance Testing</p> <p>Records relating to purchase specifications and acceptance testing of diagnostic radiology equipment pursuant to 21 CFR 1000.55.</p> <p><i>Note: 21 CFR 1000.55(c)(2) requires the retention of purchase specifications and records of acceptance testing throughout the life of the equipment.</i></p>	HO55-03L-10 Rev. 1	Retain until disposition of equipment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



3. HEALTH CARE AND TREATMENT

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

See CORE's **HUMAN RESOURCE MANAGEMENT – Occupational Health and Safety** activity for additional records relating to employee/occupational health.

See CORE's **FINANCIAL MANAGEMENT** function for additional financial records.

3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.1	<p>Diagnostic Images – Age 18 and Older Records relating to tests, assessments, or examinations performed on patients age 18 or older in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Echocardiographs and electroencephalograms; • Evoked potential tests; • Fetal monitoring strips; • Hematology and cytology reports; • Nuclear images; • X-rays and roentgenograms. <p>Excludes graphs/tracings/images that are part of the patient medical record covered by HO55-03I-07 or HO2011-101.</p> <p>Excludes mammography films covered by HO2011-085.</p> <p>Excludes physician's interpretive reports covered by HO55-03I-07 or HO2011-101.</p>	HO55-03S-01 Rev. 1	Retain for 10 years after date of test or assessment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.2	<p>Diagnostic Images – Under Age 18</p> <p>Records relating to tests, assessments, or examinations performed on patients under age 18 in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Echocardiographs and electroencephalograms; • Evoked potential tests; • Fetal monitoring strips; • Hematology and cytology reports; • Nuclear images; • X-rays and roentgenograms. <p>Excludes graphs/tracings/images that are part of the patient medical record covered by HO55-03I-07 or HO2011-101.</p> <p>Excludes mammography films covered by HO2011-085.</p> <p>Excludes physician’s interpretive reports covered by HO55-03I-07 or HO2011-101.</p>	HO2011-084 Rev. 0	<p>Retain for 8 years after patient attains age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.1 DIAGNOSTIC AND MEDICAL IMAGING

The activity of imaging the human body for clinical assessment and/or diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.3	<p>Mammography Films Patient mammography films created by the agency.</p> <p>Excludes patient medical records covered by HO55-03I-07, HO2011-101, or HO2011-102.</p> <p><i>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.</i></p>	HO2011-085 Rev. 0	<p>Retain for 5 years after date of mammogram <i>and</i> 10 years after patient’s last mammogram performed at the facility <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
3.1.4	<p>Radiologic Reports Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images.</p> <p><i>Note: 42 CFR 482.26(d)(2) requires the retention of radiologic reports and printouts for 5 years.</i></p>	HO2011-086 Rev. 0	<p>Retain for 5 years after date of report/printout <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.1	Drug Logs - Therapeutic Leave Logs 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).	HO2011-087 Rev. 0	Retain for 8 years after date of last entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2.2	Emergency Kit Drugs Records 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).	HO55-03R-04 Rev. 1	Retain for 6 years after date of receipt/removal <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2.3	Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over Records created by nursing home facilities on a per-patient basis which document services provided to patients age 18 and over. Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by HO2011-102. <i>Note: RCW 18.51.300 requires nursing homes to retain all records relating directly to the care and treatment of adults for no fewer than eight years following most recent discharge.</i>	HO2011-088 Rev. 0	Retain for 8 years after last discharge <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.4	<p>Long Term Care/Nursing Home Resident Medical Records – Under Age 18 Records created by long term care facilities on a per-patient basis which document services provided to patients under age 18.</p> <p>Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by HO2011-102.</p> <p><i>Note: RCW 18.51.300 requires nursing homes to retain all records relating directly to the care and treatment of minors for no fewer than three years following attainment of age of eighteen years, or ten years following such discharge, whichever is longer.</i></p>	HO2011-089 Rev. 0	<p>Retain for 10 years after last discharge <i>and</i> 3 years after patient attains age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
3.2.5	<p>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.</p>	HO55-03R-06 Rev. 1	<p>Retain for 1 year after date of last activity <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
3.2.6	<p>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”).</p> <p>Excludes long term care/nursing home patient records covered by HO2011-088 and HO2011-089.</p>	HO2011-090 Rev. 0	<p>Retain for 1 year after death/discharge of resident <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

The activity of managing long term care or nursing home programs and facilities.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.7	Resident Censuses Records documenting census information and statistics about long term care/nursing residents.	HO2011-091 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
3.2.8	Resident In/Out Logs Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility.	HO2011-092 Rev. 0	Retain for 3 years after last entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.1	<p>Master Patient Index Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital.</p> <p><i>Note: The American Health Information Management Association (AHIMA) recommends the permanent retention of the master patient index.</i></p>	HO55-03B-02 Rev. 1	<p>Retain until destruction of pertinent medical record <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
3.3.2	<p>Maternity Registers Registers of maternity cases at the hospital.</p>	HO55-03I-02 Rev. 1	<p>Retain for 3 years after date of entry <i>then</i> Transfer to Washington State Archives.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>
3.3.3	<p>Operative Indexes Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information.</p> <p><i>Note: The American Health Information Management Association (AHIMA) recommends the retention of operatives indexes for 10 years.</i></p>	HO55-03M-01 Rev. 1	<p>Retain for 10 years after date of entry <i>then</i> Transfer to Washington State Archives.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>
3.3.4	<p>Patient Property Records documenting property recovered from patients who are admitted into the hospital.</p>	HO55-03B-03 Rev. 1	<p>Retain for 3 years after patient discharge <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



3.3 PATIENT ADMINISTRATION

The activity of administering health care and treatment services provided for patients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.5	<p>Operative Scheduling/Assignments Records 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).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Anesthesia/activity logs; • Equipment schedules; • Medical, nursing, anesthesia, and support staff schedules; • Perfusion records. 	HO2011-093 Rev. 0	Retain for 8 years after date of operation <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.3.6	<p>Referrals – To the Agency Pre-admission records relating to patients referred to the agency by outside providers.</p>	HO2011-094 Rev. 0	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.3.7	<p>Referrals – Outside of the Agency Records relating to agency referrals of patients to non-agency providers.</p>	HO2011-095 Rev. 0	Retain for 2 years after date of receipt <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



3.4 PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.4.1	Clinical Resource Management/Utilization Review Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity.	HO55-03Q-04 Rev. 1	Retain for 8 years after completion of utilization review <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.4.2	Cost/Fee Sheets Records documenting services or procedures provided to patients, and necessary coding or billing information associated with services provided.	HO2011-096 Rev. 0	Retain for 6 years after date service provided <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
3.4.3	Patient Billing and Financial Assistance Records relating to the billing of insurance and third party payers for the provision of medical services. Includes, but is not limited to: <ul style="list-style-type: none"> • Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.) • Medicaid/Medicare billing and reimbursements; • Patient refunds. 	HO2011-097 Rev. 0	Retain for 6 years after final account activity <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.4 PATIENT BILLING

The activity of billing patients for services provided by the hospital or its ancillary departments.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.4.4	<p><i>Uncompensated Care - Compliance</i> Records documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510(b)</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 24 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. 	HO2011-098 Rev. 0	<p>Retain for 3 years after report submitted to Health and Human Services <i>or</i> 180 days after close of Health and Human Services investigation, whichever is longer <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.5.1	<p>Counseling Records relating to the provision of mental health counseling and services on a per-patient basis by a licensed mental health counselor.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Counseling notes and summaries; • Prescriptions. <p>Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by HO2011-102.</p> <p><i>Note: WAC 246-809-035(4) requires the retention of all records relating to counseling services billed to a third-party payer for 5 years following the patient's last visit.</i></p>	HO2011-099 Rev. 0	Retain for 5 years after patient's last visit <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM
3.5.2	<p>Interpretation Requests Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p>	HO55-03L-25 Rev. 1	Retain until added to patient's medical record.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.5.3	<p>Organ Transplants Records relating to the transplantation of organs, including records relating to potential donors, organs retrieved/received, transplant recipients, and other transplant-related matters.</p> <p>Excludes patient medical records covered by HO55-03I-07 or HO2011-101.</p> <p><i>Note: 42 CFR 121.11(a)(2) requires the retention of records relating to organ transplants for 7 years.</i></p>	HO2011-100 Rev. 0	Retain for 7 years after date of transplant procedure <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.5.4	<p><i>Patient Medical Records – Age 18 and Over</i> Records 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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Diagnostic, medical, and/or imaging reports or interpretations; • Medication administration records; • Patient treatment history; • Psychology and psychiatric notes and summaries, and psychotherapy notes. <p>Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by HO2011-102.</p>	HO55-031-07 Rev. 1	Retain for 10 years after last provision of health-related services <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
3.5.5	<p><i>Patient Medical Records – Under Age 18</i> Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients under age 18.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Diagnostic, medical, and/or imaging reports or interpretations; • Medication administration records; • Patient treatment history; • Psychology and psychiatric notes and summaries, and psychotherapy notes. <p>Excludes patient medical records for which a disclosure authorization has been made in the final year of retention, covered by HO2011-102.</p>	HO2011-101 Rev. 0	Retain for 10 years after last provision of health-related services <i>and</i> 3 years after patient attains age 18 <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



3.5 PATIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of patients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.5.6	<p>Patient Medical Records – Disclosure Authorized</p> <p>Patient medical records for which a disclosure has been authorized in accordance with RCW 70.02.040.</p> <p><i>Note: RCW 70.02.160 requires the retention of existing health care information for at least one year following receipt of an authorization to disclose that health care information.</i></p>	HO2011-102 Rev. 0	Retain for 1 year after receipt of authorization to disclose <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.1	<p>Brachytherapy Source Accountability Records documenting information pertinent to licensees' accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260.</p> <p>Includes, but is not limited to documentation of:</p> <ul style="list-style-type: none"> • 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. <p><i>Note: WAC 246-240-596 requires the retention of records documenting licensees' accountability for brachytherapy sources for 3 years after disposal of the source.</i></p>	HO2011-103 Rev. 0	Retain for 3 years after disposal of source <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.2	<p>Byproduct Misadministration Records relating to the misadministration of byproduct material or radiation from byproduct material.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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. 	HO55-03L-58 Rev. 1	Retain for 8 years after date of event <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.3	<p>Occupational and Public Dose/Exposure – Reports</p> <p>Records 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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> 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. 	HO55-03L-39 Rev. 1	Retain for 30 years after termination of last pertinent license or registration <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.4	<p>Occupational and Public Dose/Exposure – Working Files Records used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent as required in WAC 246-221-230(9)(b). <i>Note: WAC 246-221-230(9) requires the retention of public dose/exposure working files for three years after date of document.</i></p>	HO55-03L-37 Rev. 1	Retain for 3 years after completion of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.5	<p>Patient Releases – Radiation Records relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122. <i>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.</i></p>	HO2011-104 Rev. 0	Retain for 3 years after patient release <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.6	<p>Program Approvals/Changes Records relating to management approvals of radiation program licensing, workers, or program changes in accordance with WAC 246-240-551 or WAC 246-240-554.</p>	HO2011-105 Rev. 0	Retain for 5 years after date of document/approval <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.7	<p>Public Dose Limit Compliance Records documenting compliance with public dose limits for individuals as required by WAC 246-221-060(4). <i>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.</i></p>	HO55-03L-42 Rev. 1	Retain until termination of last pertinent license or registration <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.8	Radiation Doses Records relating to the administration of radiation doses for which written directives are required.	HO55-03L-43 Rev. 1	Retain for 3 years after administration of dose <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.9	Radiopharmaceutical Assays Records relating to assays of radiopharmaceuticals.	HO55-03L-56 Rev. 1	Retain for 2 years after date of assay <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
3.6.10	Source Surveys and Tests Records relating to the survey and/or testing of byproduct sources or byproduct source doses. Includes, but is not limited to: <ul style="list-style-type: none"> • 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. 	HO55-03L-03 Rev. 1	Retain for 3 years after date of survey/measurement <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.11	<p>Surveys - General Records 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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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. 	HO55-03L-30 Rev. 1	Retain for 3 years after date of survey <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.6 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.6.12	<p>Written Directives – Authorizations</p> <p>Written directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060.</p> <p><i>Note: WAC 246-240-557 requires the retention of written directives for the administration of radioactive material for 3 years.</i></p>	HO2011-106 Rev. 0	<p>Retain for 3 years after date of directive <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.13	<p>Written Directives – Doses</p> <p>Records relating to the administration of radiation doses for which written directives are required.</p>	HO2011-107 Rev. 0	<p>Retain for 3 years after administration of dose <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
3.6.14	<p>Written Directives – Procedures</p> <p>Procedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063.</p> <p><i>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.</i></p>	HO2011-108 Rev. 0	<p>Retain for the duration of the authorized user's license <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



4. HOSPITAL SUPPORT SERVICES

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

See CORE's **AGENCY MANAGEMENT – Community Relations** activity for additional community relations records.

4.1 FOOD SERVICES

The activity of providing food services for patients, staff, and the public.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.1.1	Meal Counts Records documenting the number of meals provided to patients.	HO55-03D-03 Rev. 1	Retain for 3 years after date meals distributed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.1.2	Menus – Cafeteria Records relating to menus for hospital cafeterias.	HO55-03D-04 Rev. 1	Retain for 1 year after last date menu offered <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
4.1.3	Menus – Patient Records relating to menus for food offered to hospital patients.	HO55-03D-06 Rev. 1	Retain for 3 years after last date menu offered <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.1.4	Patient Meals Records relating to individual, patient-specific dietary orders or requests used by kitchen staff during meal preparation (e.g. patient diet cards). Excludes patient medical records covered by HO55-03I-07 or HO2011-101.	HO2011-109 Rev. 0	Retain for 3 years after provision of meal <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.2.1	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Accountings of Disclosure</p> <p>Records relating to patient requests for access or amendment to protected health information, and/or accountings of disclosure.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests to inspect or obtain copies of any protected health information; • Documentation of patients amending their records, and/or requests for corrections; • Records relating to disclosures of protected health information. 	HO2011-110 Rev. 0	<p>Retain for 6 years after date of disclosure <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2.2	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information</p> <p>Records relating to changes or corrections made by the covered entity to an individuals' protected health information.</p>	HO2011-111 Rev. 0	<p>Retain until destruction of protected health information subject to change(s) <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.2.3	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Complaints Records relating to internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Complaints received regardless of format or media; • Background/research materials pertaining to complaints received; • Agency responses to complaints; • Complaint logs. 	HO2011-112 Rev. 0	Retain for 6 years after final resolution <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2.4	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Sanctions to Workers Records relating to sanctions applied to workers for non-compliance with privacy policies and/or practices.</p>	HO2011-113 Rev. 0	Retain for 6 years after fulfillment of sanction <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2.5	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Training Records documenting the curriculum, materials, and/or planning of privacy/HIPAA training programs provided by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training development records; • Training handouts, worksheets, etc.; • Presentations used for HIPAA training purposes. 	HO2011-114 Rev. 0	Retain for 6 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.2.6	<p>Medical Staff Credentialing/Privileging Records relating to reviews of practitioners' qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation.</p> <p>Excludes personnel records covered by GS50-04B-06.</p> <p><i>Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners.</i></p>	HO2011-115 Rev. 0	<p>Retain for 8 years after termination of employment <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
4.2.7	<p>Patient Accident/Incident Reports – No Claim Filed (Age 18 and Older) Records relating to accidents/incidents involving patients age 18 or older in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03.</p> <p>Excludes accidents/incidents involving non-patients covered by GS50-06C-03.</p> <p>Excludes patient accident/incident reports covered by HO2011-116.</p>	HO55-03Q-01 Rev. 1	<p>Retain for 8 years after date of accident/injury <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



4.2 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.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.2.8	<p>Patient Accident/Incident Reports – No Claim Filed (Under Age 18) Records relating to accidents/incidents involving patients younger than age 18 in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03. Excludes accidents/incidents involving non-patients covered by GS50-06C-03. Excludes patient accident/incident reports covered by HO55-03Q-01.</p>	HO2011-116 Rev. 0	<p>Retain for 8 years after injury/accident <i>and</i> 8 years after juvenile attains age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2.9	<p>Radiation Protection Program Audits and Reviews Records relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005.</p> <p><i>Note: WAC 246-221-230(9)(e) requires the retention of radiation protection program audit and review records for 3 years.</i></p>	HO55-03L-47 Rev. 1	<p>Retain for 3 years after completion of audit/review <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2.10	<p>Standard of Care Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions.</p>	HO2011-117 Rev. 0	<p>Retain for 8 years after obsolete or superseded <i>then</i> Transfer to Washington State Archives.</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



4.3 REPORTING

The activity of reporting information to external agencies or organizations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.3.1	Baptismal Registries Logs or registries documenting baptisms performed in the hospital.	HO2011-118 Rev. 0	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
4.3.2	Birth/Death Registers Registers documenting summary information about births or deaths which have occurred in the hospital.	HO2011-119 Rev. 0	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
4.3.3	Vital Statistics Supporting Documentation Records relating to the reporting of vital events/statistics to the Washington State Department of Health.	HO2011-120 Rev. 0	Retain for 1 year after vital event reported to Washington State Department of Health <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



5. HUMAN RESOURCE MANAGEMENT

The function of managing the hospitals' workforce, where not covered by *CORE*.

5.1 PERFORMANCE MANAGEMENT

The activity of assessing and directing employee progress toward performance goals.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.1.1	<p>Staff Plans/Schedules Records relating to staff plans and schedules for nurses, social workers, and/or other medical staff. Excludes physician call schedules covered by HO55-03E-02.</p>	HO2011-121 Rev. 0	Retain until completion of Joint Commission on Accreditation of Healthcare Organizations audit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.1.2	<p>Physician Call Schedules Schedules documenting on-call schedules for hospital physicians. Excludes staff plans/schedules covered by HO2011-121. <i>Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules.</i></p>	HO55-03E-02 Rev. 1	Retain for 5 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
5.1.3	<p>Radiation Safety Officer Records relating to the authority, duties, and responsibilities of the radiation safety officer. <i>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.</i></p>	HO2011-122 Rev. 0	Retain until termination/expiration of medical use license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



5.2 PERSONNEL

The activity of documenting and individual's employment with the local government agency. Includes volunteers.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.2.1	<p>Blood/Tissue Bank Employees Quality assurance and training records relating to blood/tissue bank employees. Excludes personnel files covered by GS50-04B-06. <i>Note: The College of American Pathologists recommends the retention of blood bank records relating to employees for 10 years.</i></p>	HO2011-123 Rev. 0	Retain for 10 years after termination of employment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



5.3 STAFF DEVELOPMENT/TRAINING

The activity of enhancing employees' competencies and skills through programs and training.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.3.1	<p>Instruction/Training – Occupational Doses Records 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.</p> <p><i>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.</i></p>	HO55-03L-61 Rev. 1	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.3.2	<p>Instruction/Training – Radiation Protection Records 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.</p> <p><i>Note: WAC 246-240-590 requires the retention of records of safety instruction for 3 years.</i></p>	HO55-03L-63 Rev. 1	Retain for 3 years after date instruction completed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.3.3	<p>Medical Use Licenses Records relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Byproduct material medical use licenses; • Radioactive materials general and specific licenses. 	HO55-03L-06 Rev. 1	Retain for 8 years after termination of employment <i>then</i> Destroy..	NON-ARCHIVAL ESSENTIAL OPR



6. 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 College of American Pathologists, the Clinical Laboratory Improvement Amendments (CLIA), and applicable state and federal codes and regulations.

6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.1	Accession/Test Logs Logs documenting specimens received by a laboratory and test(s) ordered and/or performed in accordance with 42 CFR 493.1105. Excludes laboratory and pathology specimens.	HO55-03N-05 Rev. 1	Retain for 2 years after date of entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.1.2	Immunohematology – Non-Transfusion Related Records relating to patient testing and quality control for non-transfusion services, including instrument function checks, maintenance, and temperature records. <i>Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of non-transfusion related immunohematology records for at least 2 years.</i>	HO2011-124 Rev. 0	Retain for 2 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.3	<p><i>Immunohematology – Transfusion Related</i></p> <p>Records relating to patient testing and quality control for transfusion services, including donor processing, compatibility testing, and transfusion reaction investigations.</p> <p><i>Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of transfusion-related immunohematology records for 5 years after records of processing are completed, or 6 months after the latest expiration date for individual product, whichever is longer.</i></p>	HO2011-125 Rev. 0	Retain for 5 years after records of processing completed <i>and</i> 6 months after latest expiration date for individual product <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.4	<p>Quality Control and Assurance – Transfusion Services Records relating to medical test site quality control programs for transfusion services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Performance specifications;• Requisitions;• Instrument documentation;• Specimen identification and tracking records. <p>Excludes laboratory specimens.</p> <p>Excludes quality control and assurance for non-transfusion tests covered by HO2011-126.</p> <p><i>Note: WAC 246-338-070 requires the retention of transfusion services quality control and assurance records for 5 years.</i></p>	HO55-03H-05 Rev. 1	Retain for 5 years after conclusion of quality control testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.5	<p>Quality Control and Assurance – Non-Transfusion Services Records relating to quality control programs for non-transfusion services enacted to ensure that accurate test results are reported.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Performance specifications; • Requisitions; • Instrument documentation; • Specimen identification and tracking records. <p>Excludes laboratory specimens.</p> <p>Excludes quality control and assurance for transfusion tests covered by HO55-03H-05.</p> <p><i>Note: WAC 246-338-070 requires the retention of non-transfusion quality control and assurance records for 2 years.</i></p>	HO2011-126 Rev. 0	Retain for 2 years after conclusion of quality control testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.1.6	<p>Test Procedures Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105</p> <p><i>Note: WAC 246-338-070, the Clinical Laboratory Improvement Amendments (CLIA), and the College of American Pathologists require or recommend the retention of test procedures for 2 years.</i></p>	HO2011-127 Rev. 0	Retain for 2 years after procedure has been discontinued <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.7	<p>Test Reports – General Reports and results for specimens tested or examined by a pathologist and where not covered by a more specific series.</p> <p>Excludes pathology test reports covered by HO2011-128.</p> <p>Excludes transfusion test reports covered by HO2011-129.</p> <p><i>Note: WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.</i></p>	HO55-03H-07 Rev. 1	Retain for 2 years after examination of the slide <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
6.1.8	<p>Test Reports – Pathology Final, preliminary, and corrected reports for pathology tests, including cytology, histopathology, and oral pathology reports.</p> <p>Excludes general test reports covered by HO55-03H-07.</p> <p>Excludes transfusion test reports covered by HO2011-129.</p> <p><i>Note: WAC 246-338-070 requires the retention of pathology test reports for 10 years.</i></p>	HO2011-128 Rev. 0	Retain for 10 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.1 LABORATORY (GENERAL)

The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.9	<p>Test Reports – Transfusion Services Reports and results for transfusion-related specimens tested/examined by a pathologist.</p> <p>Excludes general test reports covered by HO55-01H-07.</p> <p>Excludes pathology test reports covered by HO2011-128.</p> <p><i>Note: WAC 246-338-070 requires the retention of transfusion services reports for 5 years.</i></p>	HO2011-129 Rev. 0	Retain for 5 years after date of report/results <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
6.1.10	<p>Transfusion Services – General Administration Records relating to the provision of transfusion services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Test requisitions or equivalent; • Test records and reports; • Quality control and assurance. <p><i>Note: WAC 246-338-070 requires the retention of records relating to transfusion services for 5 years.</i></p>	HO2011-130 Rev. 0	Retain for 5 years after conclusion of transfusion/testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.2 BLOOD/TISSUE BANKS

The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.2.1	<p>Donors – Deferred</p> <p>Records relating to donors who have been indefinitely deferred, permanently deferred, or placed under surveillance for the recipient’s protection.</p> <p><i>Note: The College of American Pathologists recommends the indefinite retention of blood bank records relating to indefinitely deferred donors, permanently deferred donors, or donors placed under surveillance.</i></p>	HO2011-131 Rev. 0	<p>Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>
6.2.2	<p>Donors/Recipients – General</p> <p>Records documenting health, medical, and other information about donors and recipients.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Consent information; • Donor/recipient identifying information; • Medical and social history; • Typing and crossmatch information. <p><i>Note: The College of American Pathologists recommends the retention of blood bank records relating to donors and recipients for 10 years.</i></p>	HO2011-132 Rev. 0	<p>Retain for 10 years after final donation/receipt <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>



6.2 BLOOD/TISSUE BANKS

The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.2.3	<p><i>Donors/Recipients – Specimens</i> Records relating to specific specimens, including management and tracking, testing and typing, and recipient information.</p> <p><i>Note: The College of American Pathologists recommends the retention of blood bank records relating to specimens from blood donors and recipients for 7 days post-transfusion.</i></p>	HO2011-133 Rev. 0	Retain for 7 days after transfusion <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2.4	<p><i>Quality Control (Blood/Tissue Banks)</i> Records relating to quality control measures enacted in blood/tissue banks.</p> <p><i>Note: The College of American Pathologists recommends the retention of blood bank records relating to quality control for 5 years.</i></p>	HO2011-134 Rev. 0	Retain for 5 years after conclusion of quality control testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.3 CYTOGENETICS

The activity of conducting cytogenetic analysis to determine diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.3.1	<p>Diagnostic Images and Final Reports (Cytogenetics) Final reports and diagnostic images relating to cytogenetic examinations. <i>Note: The College of American Pathologists recommends the retention of cytogenetics diagnostic images and final reports for 20 years.</i></p>	HO2011-135 Rev. 0	Retain for 20 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.3.2	<p>Gated Dot Plots/Histograms Records relating to gated dot plots and histograms used for flow cytometry. <i>Note: The College of American Pathologists recommends the retention of cytogenetics flow cytometry for 10 years.</i></p>	HO2011-136 Rev. 0	Retain for 10 years after examination <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.4 FORENSIC PATHOLOGY

The activity of examining corpses to determine cause of death.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.4.1	Accession Logs Records documenting the receipt and management of specimens received for forensic examination. <i>Note: The College of American Pathologists recommends the retention of forensic autopsy accession logs indefinitely.</i>	HO2011-137 Rev. 0	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
6.4.2	Cytology Reports Reports relating to cytology examinations. <i>Note: WAC 246-338-070 requires the retention of cytology report for 10 years.</i>	HO2011-138 Rev. 0	Retain for 10 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.4.3	Gross Injury/Trauma Photographs and Negatives Records relating to photographs and/or negatives of gross injuries or trauma. <i>Note: The College of American Pathologists recommends the retention of gross negatives and photographs indefinitely.</i>	HO2011-139 Rev. 0	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR
6.4.4	Test Reports – Forensic Final reports and slides relating to forensic autopsy examinations. <i>Note: The College of American Pathologists recommends the retention of forensic reports and slides indefinitely.</i>	HO55-03A-02 Rev. 1	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



7. PHARMACY MANAGEMENT

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

7.1 ADMINISTRATION

The activity of providing for the general administration of public hospital pharmacies.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.1	<p><i>Patient Profile and Medication Records – Age 18 and Over</i> Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient age 18 and over receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Client details; • Parenteral products dispensed; • Dates and details of dispensations; • Pharmacist identification; • Client notes, diagnoses, and conditions; • Prescription and refill records. 	HO55-030-22 Rev. 1	Retain for 8 years after last provision of health-related services <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



7.1 ADMINISTRATION

The activity of providing for the general administration of public hospital pharmacies.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.2	<p>Patient Profile and Medication Records – Under Age 18 Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient under age 18 receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Client details; • Parenteral products dispensed; • Dates and details of dispensations; • Pharmacist identification; • Client notes, diagnoses, and conditions; • Prescription and refill records. 	HO2011-140 Rev. 0	Retain for 8 years after patient attains age 18 <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
7.1.3	<p>Batch Data Records relating to laboratory data on each batch of drug received in accordance with WAC 246-895-150.</p>	HO55-030-12 Rev. 1	Retain for 50 years after completion/cessation of batch distribution <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.2 DRUG ACCOUNTABILITY

The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.2.1	<p>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.</p>	HO55-030-11 Rev. 1	Retain for 2 years after date of shipment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.2.2	<p>Legend Drug Orders Records relating to legend drug orders created in accordance with WAC 246-904-030.</p>	HO55-03Y-02 Rev. 1	Retain for 6 years after date of purchase <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.2.3	<p>Pharmaceutical Inventory Accountability Records relating to the pharmacy's acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Destruction records; • Dispensing records created in accordance with 21 CFR 1306.26 or 21 CFR 10.34.04; • Drug registers and inventories; • Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions); • Transfer records; • Records of destruction as required by WAC 246-873-080(7)(e). 	HO55-030-09 Rev. 1	Retain for 6 years after date of destruction/disposition <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.2 DRUG ACCOUNTABILITY

The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.2.4	<p><i>Pharmaceutical Wholesaler Inventories</i> 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.</p>	HO55-030-19 Rev. 1	<p>Retain for 2 years after date of creation <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
7.2.5	<p><i>Schedule V Drugs Dispensed</i> Records documenting the dispensing of Schedule V drugs.</p>	HO55-030-29 Rev. 1	<p>Retain for 6 years after date dispensed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.3.1	Compounding Practices Reports relating to the evaluation and implementation of compounding best practices and procedures in compounding pharmacies.	HO55-030-04 Rev. 1	Retain for 2 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
7.3.2	Drug Distribution Errors Reports created in accordance with WAC 246-873-080(11) documenting drug distribution errors reported to a prescribing practitioner and/or pharmacy.	HO55-030-10 Rev. 1	Retain for 6 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.3.3	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.	HO2011-141 Rev. 0	Retain for 6 years after date of shipment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
7.3.4	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).	HO55-030-15 Rev. 1	Retain for 3 years after date of inspection <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.3.5	<p>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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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. 	HO55-030-18 Rev. 1	Retain for 6 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
7.3.6	<p>Pharmaceutical Complaints and Investigations Records of all written and oral complaints regarding each pharmaceutical product, and related investigation records produced in accordance with WAC 246-895-160.</p>	HO55-030-03 Rev. 1	Retain for 2 years after distribution of drug has been completed <i>and</i> 1 year after expiration of drug <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.3.7	Pharmacy Policy, Procedure, and Training Manuals Manuals 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.	HO2011-142 Rev. 0	Retain for 2 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM
7.3.8	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.	HO55-030-26 Rev. 1	Retain for 2 years after date of transaction <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
7.3.9	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).	HO55-030-25 Rev. 1	Retain until termination of pharmacy license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
7.3.10	Therapeutically Equivalent Drug Substitution Records documenting prior authorization for therapeutically equivalent drug substitution in accordance with WAC 246-899-030(3).	HO55-030-31 Rev. 1	Retain for 10 years after patient's last discharge <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



8. RESEARCH MANAGEMENT

The function of managing or performing medical research, including Institutional Review Board activities, and clinical or device trials.

See **CORE Financial Management – Grants** for financial records relating to grants.

8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.1	Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved Reserve 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.	HO2011-143 Rev. 0	Retain for 5 years after date on which Food and Drug Administration application or supplemental application is approved <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
8.1.2	Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved Reserve 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.	HO2011-144 Rev. 0	Retain for 5 years after date of completion of the bioavailability study <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.3	<p>Device Trials Records relating to investigational medical device clinical trials retained in accordance with 21 CFR 812.140.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> 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. 	HO2011-145 Rev. 0	<p>Retain for 2 years after date investigation completed/terminated <i>and</i> 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 <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
8.1.4	<p>Trial Drug Management – Food and Drug Administration Application Approved Records relating to the acquisition, shipment, or disposition of investigational drugs for which an Food and Drug Administration application has been approved.</p> <p><i>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.</i></p>	HO2011-146 Rev. 0	<p>Retain for 2 years after date marketing application is approved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.5	<p>Trial Drug Management – No Food and Drug Administration Application Approved</p> <p>Records relating to the acquisition, shipment, or disposition of investigational drugs for which an Food and Drug Administration application has not been approved.</p> <p><i>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.</i></p>	HO2011-147 Rev. 0	<p>Retain for 2 years after investigation is discontinued and the Food and Drug Administration notified <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
8.1.6	<p>Investigators’ Financial Interest</p> <p>Records 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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> 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). 	HO2011-148 Rev. 0	<p>Retain for 6 years after conclusion of pertinent investigational activities <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.7	<p><i>In Vivo/In Vitro Batch Tests</i> Records 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).</p>	HO2011-149 Rev. 0	<p>Retain for 2 years after expiration date of the batch <i>and</i> 2 years after submitted to the Food and Drug Administration <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
8.1.8	<p><i>Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)</i> 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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case report forms and supporting data; • Signed and dated consent forms; • Medical records. <p><i>Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years following the date an Food and Drug Administration marketing applications is approved for the drug being investigated.</i></p>	HO2011-150 Rev. 0	<p>Retain for 2 years after date marketing application is approved <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR



8.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.9	<p>Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)</p> <p>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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case report forms and supporting data; • Signed and dated consent forms; • Medical records. <p><i>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.</i></p>	HO2011-151 Rev. 0	<p>Retain for 2 years after investigation is discontinued and the Food and Drug Administration is notified <i>then</i> Destroy</p>	NON-ARCHIVAL ESSENTIAL OPR



8.2 DIAGNOSTIC RESEARCH

The activity relating to conducting diagnostic research.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.2.1	<p><i>Diagnostic Research</i> Records created in the course of performing diagnostic testing for research purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Patient files, including medical histories;• Diagnostic research images.	HO2011-152 Rev. 0	Retain for 8 years after conclusion of research activities <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



8.3 INSTITUTIONAL REVIEW BOARDS

The activity relating to the management and oversight of human subject research.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.3.1	<p><i>Institutional Review Boards – General Board Records</i> Records relating to institutional review boards and their activities in the monitoring and oversight of human subject research as described in 45 CFR 46.115.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Approved sample consent documents; • IRB member lists and credentialing; • IRB reviews of research proposals and ongoing review activities; • Minutes of IRB meetings; • Reports of unanticipated problems involving risks to subjects or others; • Scientific evaluations. <p><i>Note: 45 CFR 46.115(a) requires the retention of general IRB records for at least 3 years.</i></p>	HO55-03U-04 Rev. 1	<p>Retain for 3 years after date of document <i>then</i> Transfer to Washington State Archives.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>
8.3.2	<p><i>Institutional Review Boards – Principal Investigator Records</i> Records relating to investigator activities in human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documentation of uses and disclosures; • Authorization/consent forms; • Business partner contracts; • Notices of practice; • Responses to requests to amend or correct information; • Patient statements of disagreements and complaints. <p><i>Note: 45 CFR 45.115 requires the retention of principal investigators’ records for 6 years after completion of research.</i></p>	HO55-03U-07 Rev. 1	<p>Retain for 6 years after completion of research <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>



8.3 INSTITUTIONAL REVIEW BOARDS

The activity relating to the management and oversight of human subject research.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.3.3	<p><i>Institutional Review Boards – Research Conducted</i> IRB board records which relate to specific research conducted or that documents decisions pertaining to committee actions on research conducted.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence between the IRB and investigators/researchers; • Progress reports provided to IRB; • Reports of unanticipated problems involving risks to subjects or others; • Injury reports; • Significant new findings provided to subjects. <p><i>Note: 45 CFR 46.115(b) requires the retention of IRB records relating to research conducted for at least 3 years after completion of the research.</i></p>	HO55-03U-02 Rev. 1	<p>Retain for 3 years after completion/termination of research <i>then</i> Arrange for appraisal by and selective retention by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



GLOSSARY

Appraisal

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

Archival – See ***Archival (Appraisal Required)*** and ***Archival (Permanent Retention)***.

Archival (Appraisal Required)

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

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

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

WSA will not sample, weed, or otherwise dispose of records fitting the record series description designated as “Archival (Permanent Retention)” other than the removal of duplicates. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

Disposition

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

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

Disposition Authority Number (DAN)

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



Essential Records

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

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

Local Records Committee

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

Non-Archival

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

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

Non-Essential Records

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

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.



OFM (Office Files and Memoranda)

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

RCW 40.14.010 – Definition and classification of public records.

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

OPR (Official Public Records)

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

RCW 40.14.010 – Definition and classification of public records.

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

Permanent – See ***Archival (Permanent Retention)*** and ***Non-Archival***.

Potentially Archival or ***Potential Archival Value*** – See ***Archival (Appraisal Required)***.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

Public Records

RCW 40.14.010 – Definition and classification of public records.

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



Record 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 record series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

Secondary Records

Copies (or duplicates) of the agency's primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.

Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.

Washington State Archives provides security microfilm storage and inspection services to local government agencies.



INDEX: ARCHIVAL / LIFE OF AGENCY RECORDS

HEALTH CARE AND TREATMENT		Birth/Death Registers.....	39
Long term Care/Nursing Facility Management		LABORATORY AND PATHOLOGY MANAGEMENT	
Resident Censuses.....	20	Blood/Tissue Banks	
Patient Administration		Donors – Deferred.....	49
Master Patient Index.....	21	Forensic Pathology	
Maternity Registers.....	21	Accession Logs.....	52
Operative Indexes.....	21	Gross Injury/Trauma Photographs and Negatives.....	52
HOSPITAL SUPPORT SERVICES		Test Reports – Forensic.....	52
Food Services		PHARMACY MANAGEMENT	
Menus – Cafeteria.....	34	Quality Assurance and Control	
Quality Assurance and Compliance		Pharmaceutical Complaints and Investigations.....	58
Medical Staff Credentialing/Privileging.....	37	RESEARCH MANAGEMENT	
Standard of Care.....	38	Institutional Review Boards	
Reporting		Institutional Review Boards – General Board Records.....	66
Baptismal Registries.....	39	Institutional Review Boards – Research Conducted.....	67



INDEX: ESSENTIAL RECORDS

ASSET MANAGEMENT	
Inventory	
Mechanical Floor Stock Devices – Drug Removal.....	7
Maintenance	
Instructions/Procedures – Radiation Protection.....	11
Radiation Machine Registrations	11
HEALTH CARE AND TREATMENT	
Diagnostic and Medical Imaging	
Mammography Films	17
Long Term Care/Nursing Facility Management	
Long-Term Care/Nursing Home Patient Records – Age 18 and Over	18
Patient Administration	
Master Patient Index.....	21
Patient Medical Records	
Mental Health Records.....	25
Organ Transplants	25
Patient Medical Records – Age 18 and Over	26
Patient Medical Records – Disclosure Authorized	27
Patient Medical Records – Under Age 18.....	26
HUMAN RESOURCE MANAGEMENT	
Staff Development/Training	
Medical Use Licenses	42
LABORATORY AND PATHOLOGY MANAGEMENT	
Blood/Tissue Banks	
	Donors – Deferred.....
	Donors/Recipients – General
	49
	49
PHARMACY MANAGEMENT	
Administration	
Patient Profile and Medication Records – Age 18 and Over	53
Administration	
Patient Profile and Medication Records – Under Age 18.....	54
Quality Assurance and Control	
Pharmacy Policy, Procedure, and Training Manuals	59
RESEARCH MANAGEMENT	
Clinical Trials	
Bioavailability/Bioequivalence Samples – Food and Drug Administration	
Application Approved	60
Device Trials	61
Subject Case Histories – Food and Drug Administration Application Filed	
(Clinical Trials).....	63
Subject Case Histories – Food and Drug Administration Application Not Filed	
(Clinical Trials).....	64
Diagnostic Research	
Diagnostic Research	65
Institutional review Boards	
Institutional Review Boards – Principal Investigator Records.....	66
Institutional Review Boards – Research Conducted	67



INDEX: DISPOSITION AUTHORITY NUMBERS (DANs)

HO2011-074.....	6	HO2011-106.....	33	HO2011-138.....	52	HO55-03L-19.....	9
HO2011-075.....	6	HO2011-107.....	33	HO2011-139.....	52	HO55-03L-20.....	10
HO2011-076.....	7	HO2011-108.....	33	HO2011-140.....	54	HO55-03L-25.....	25
HO2011-077.....	9	HO2011-109.....	34	HO2011-141.....	57	HO55-03L-30.....	32
HO2011-078.....	9	HO2011-110.....	35	HO2011-142.....	59	HO55-03L-37.....	30
HO2011-079.....	11	HO2011-111.....	35	HO2011-143.....	60	HO55-03L-39.....	29
HO2011-080.....	11	HO2011-112.....	36	HO2011-144.....	60	HO55-03L-42.....	30
HO2011-081.....	12	HO2011-113.....	36	HO2011-145.....	61	HO55-03L-43.....	31
HO2011-082.....	12	HO2011-114.....	36	HO2011-146.....	61	HO55-03L-46.....	11
HO2011-083.....	13	HO2011-115.....	37	HO2011-147.....	62	HO55-03L-47.....	38
HO2011-084.....	16	HO2011-116.....	38	HO2011-148.....	62	HO55-03L-56.....	31
HO2011-085.....	17	HO2011-117.....	38	HO2011-149.....	63	HO55-03L-58.....	28
HO2011-086.....	17	HO2011-118.....	39	HO2011-150.....	63	HO55-03L-61.....	42
HO2011-087.....	18	HO2011-119.....	39	HO2011-151.....	64	HO55-03L-63.....	42
HO2011-088.....	18	HO2011-120.....	39	HO2011-152.....	65	HO55-03L-64.....	12
HO2011-089.....	19	HO2011-121.....	40	HO55-03A-02.....	52	HO55-03L-66.....	9
HO2011-090.....	19	HO2011-122.....	40	HO55-03B-02.....	21	HO55-03L-68.....	13
HO2011-091.....	20	HO2011-123.....	41	HO55-03B-03.....	21	HO55-03L-69.....	12
HO2011-092.....	20	HO2011-124.....	43	HO55-03C-01.....	11	HO55-03M-01.....	21
HO2011-093.....	22	HO2011-125.....	44	HO55-03D-03.....	34	HO55-03N-05.....	43
HO2011-094.....	22	HO2011-126.....	46	HO55-03D-04.....	34	HO55-03O-03.....	58
HO2011-095.....	22	HO2011-127.....	46	HO55-03D-06.....	34	HO55-03O-04.....	57
HO2011-096.....	23	HO2011-128.....	47	HO55-03E-02.....	40	HO55-03O-09.....	55
HO2011-097.....	23	HO2011-129.....	48	HO55-03H-05.....	45	HO55-03O-10.....	57
HO2011-098.....	24	HO2011-130.....	48	HO55-03H-07.....	47	HO55-03O-11.....	55
HO2011-099.....	25	HO2011-131.....	49	HO55-03I-02.....	21	HO55-03O-12.....	54
HO2011-100.....	25	HO2011-132.....	49	HO55-03I-07.....	26	HO55-03O-14.....	7
HO2011-101.....	26	HO2011-133.....	50	HO55-03L-03.....	31	HO55-03O-15.....	57
HO2011-102.....	27	HO2011-134.....	50	HO55-03L-06.....	42	HO55-03O-18.....	58
HO2011-103.....	28	HO2011-135.....	51	HO55-03L-07.....	6	HO55-03O-19.....	56
HO2011-104.....	30	HO2011-136.....	51	HO55-03L-08.....	7	HO55-03O-22.....	53
HO2011-105.....	30	HO2011-137.....	52	HO55-03L-10.....	14	HO55-03O-25.....	59



HO55-030-26	59	HO55-03Q-04	23	HO55-03U-02	67	HO55-03X-01.....	8
HO55-030-29	56	HO55-03R-04	18	HO55-03U-04	66	HO55-03Y-02.....	55
HO55-030-31	59	HO55-03R-06	19	HO55-03U-07	66		
HO55-03Q-01	37	HO55-03S-01	15	HO55-03V-04	5		



INDEX: SUBJECTS

A

acceptance testing	14
accession logs (forensic pathology)	52
accession/test logs	43
accounting.....	see CORE
accountings of disclosure (HIPAA)	35
accreditation, certification, and license	
documentation	see CORE
agendas	see CORE
as-built construction project plans	see CORE
assays, radiopharmaceutical.....	31
auditing	see CORE

B

banking	see CORE
baptismal registers.....	39
batch data	54
benefits (HR)	see CORE
bids and proposals	see CORE
billing/financial assistance	23
bioavailability/bioequivalence samples	60
birth/death registers.....	39
blood/tissue banks	
donor consents	49
boards, councils and committees	see CORE
brachytherapy	
source accountability.....	28

budget.....	see CORE
bylaws	see CORE
byproduct	
misadministration	28
source surveys and tests.....	31

C

calibration	
brachytherapy sources	9
dosimetry equipment	9
expert evaluations	9
instructions – image receptors	9
call schedules (physicians)	40
censuses (long-term care/nursing)	20
charters (agency)	see CORE
claims	
for damages	see CORE
clinical resource management/utilization review... ..	23
communications	
executive.....	see CORE
non-executive	see CORE
complaints	
(HIPAA)	36
pharmaceutical	58
compounding practices.....	57
construction project files	see CORE
consultant and contractor rosters	see CORE
contracts/agreements	see CORE
controlled substances	
destruction	55

inventory accountability	55
cost/fee sheets.....	23
credentialing/privileging	37
cytogenetics	
diagnostic images and final reports.....	51
cytology reports	52

D

decay	
in storage	6
strontium-90.....	6
deferred donors	49
device trials	61
diagnostic	
images	
age 18 and older.....	15
under age 18	16
images and final reports (cytogenetics)	51
research	65
directives, written	33
disclosures (HIPAA)	35
donors/recipients	
general.....	49
specimens	50
typing/crossmatch	49
drug	
distribution errors.....	57
drug disposal	
controlled substances.....	55
decay in storage.....	6



radioactive material..... 6
trial drugs..... 61, 62
drug logs, therapeutic leave 18

E

electronic information systems see CORE
emergency kit drugs..... 18
employee records (blood/tissue banks) 41
environmental management see CORE
equipment
 calibration and testing..... 10
 sterilization/infection control..... 11

F

facilities plans..... see CORE
fee sheets..... 23
forensic reports..... 52
forms and publications see CORE

G

gated dot plots/histograms (cytogenetics) 51
grants see CORE
gross injury photographs/negatives 52

H

hazardous materials disposal/destruction... see CORE

HIPAA
 accountings of disclosure 35
 accountings of disclosure) 35
 changes/corrections to records..... 35
 complaints 36
 sanctions to workers..... 36
 training 36
histograms (cytogenetics)..... 51
home dialysis program
 drug shipment 55
 quality assurance..... 57

I

immunohematology
 non-transfusion related 43
 transfusion related 44
in vivo/in vitro batch tests 63
index
 master patient 21
 operative..... 21
in-home equipment 8
institutional review boards
 authorization/consent forms..... 66
 general board records 66
 notices of practice 66
 principal investigator records 66
 research conducted 67
instruction/training
 occupational doses 42
 radiation protection 42
instructions
 manufacturer 11

radiation protection 11
instructions/procedures – radiation protection 11
interpretation requests..... 25
inventories of radio sources 7
investigators’ financial interest..... 62

L

leasing/usage (asset)..... see CORE
library services see CORE
litigation case files..... see CORE
logs
 accession (forensic) 52
 operative..... 21
 resident in/out..... 20
 therapeutic leave drugs 18
long-term care/nursing home patient records
 age 18 and over 18
 under age 18..... 19

M

mail services..... see CORE
mammograms 17
manufacturer instructions 11
master patient index..... 21
maternity registers..... 21
meal counts..... 34
mechanical floor stock devices
 drug removal 7
medical use licenses..... 42
menus



cafeteria..... 34
 patient 34
 minutes see CORE
 monthly inspections – hospital/nursing care units . 57

N

nursing staff plans/schedules 40

O

occupational and public dose/exposure
 reports 29
 working files..... 30
 occupational health and safety..... see CORE
 online content management see CORE
 operative
 indexes..... 21
 scheduling/assignments 22
 organ transplants..... 25

P

parenteral product
 contamination testing 58
 patient
 billing/financial assistance..... 23
 meals 34
 property..... 21
 relations..... 5
 releases (radiation)..... 30

patient accident/incident reports
 age 18 and older 37
 under age 18..... 38
 patient medical records
 age 18 and over 26
 counseling..... 25
 disclosure authorized 27
 long-term care (age 18 and over) 18
 long-term care (under age 18)..... 19
 mental health 25
 under age 18..... 26
 patient profile and medication records
 age 18 and over 53
 under age 18..... 54
 personnel see CORE
 persons seeking admission 19
 pharmaceutical
 complaints and investigations 58
 wholesaler inventories 56
 pharmacy policy, procedure, and training manuals 59
 physician call schedules 40
 policies and procedures see CORE
 prescription
 drug orders 55
 press releases..... see CORE
 program
 approvals (radiation protection program)..... 30
 public
 disclosure..... see CORE
 dose limit compliance..... 30

Q

quality control
 blood/tissue banks 50
 quality control and assurance
 non-transfusion services..... 46
 transfusion services 45

R

radiation
 doses..... 31, 33
 machine registrations 11
 safety officer 40
 source inventories 7
 radiation protection program
 approvals 30
 audits and reviews..... 38
 radioactive material
 acquisition/transfer 7
 disposal 6
 radiologic reports..... 17
 radiopharmaceutical assays..... 31
 records
 conversion see CORE
 management see CORE
 recruitment/hiring see CORE
 referrals
 to the agency 22
 registers
 baptismal 39
 birth/death 39
 maternity 21



regulated chemical tableting 59

reports

- cytology 52
- forensic 52
- pathology 47
- radiologic 17

resident

- administration 19
- censuses 20
- in/out logs 20

returned pharmaceuticals 59

risk management/insurance see CORE

S

sanctions to workers (HIPAA) 36

schedule V drugs dispensed 56

security see CORE

specimens (laboratory/pathology) 43

spore tests 12

staff development/training see CORE

staffing plans/schedules (nursing) 40

standard of care 38

sterilizer spore tests 12

strategic plans see CORE

subject case histories

- FDA application filed 63

surveys

- general (radiation protection program) 32
- treatment equipment 12

T

teletherapy

- calibration calculations 12
- five-year/source replacement inspections 12
- source installation surveys 13

test

- procedures 46

test reports

- all other services 47
- transfusion services 48

therapeutic leave drug logs 18

therapeutically equivalent drug substitution 59

training

- HIPAA 36

transfusion services

- general administration 48
- reports 48

transplants (organ) 25

trial drug management

- FDA application approved 61
- FDA application not approved 62

trials, device 61

U

uncompensated care

- compliance 24
- utilization review 23

V

valuation see CORE

vital statistics supporting documentation 39

W

work orders see CORE

work plans see CORE

written directives

- authorizations 33
- procedures 33

X

x-ray/electron therapy spot checks 13

*Summary of Factors
Effecting the Decision to Create Disposition Authorities for Laboratory and Pathology
Samples in Washington State Archives Records Retention Schedules*

Background

The following is a summary of factors which may be taken into consideration regarding whether to include disposition authorities for laboratory and pathology samples in the *Public Hospital Districts Records Retention Schedule*. These factors have been gathered based on research of other state records retention schedules, and feedback received from stakeholder agencies and organizations in Washington State.

Summary of the Issue: The ongoing project to revise and update the *Public Hospital Districts Records Retention Schedule* has yielded opponents and proponents regarding whether the schedule may rightfully provide disposition authorities for laboratory and biological samples. Such samples may include, but are not limited to, pathology/laboratory slides, paraffin blocks, wet tissue remnants, blood smears, and cell samples. Some stakeholder parties have questions whether the Washington State's definition of a public record allows the inclusion of such samples and biological material. RCW 40.14.010 says,

... the term public "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business, and legislative records as described in RCW 40.14.100.

Summary of Opinions

Affirmative

Stakeholder parties who have expressed an affirmative opinion in favor of providing disposition authority for laboratory and biological samples in a Washington State records retention schedules believe laboratory and pathology samples contained in or on receptacles bearing writing qualify as public records under the statutory definition of public records provided in RCW 40.14.010. Slides and sample cups, for instance, upon which identifying information are recorded relating to the sample may arguable constitute a public record under the statutory definition.

Local agencies arguing in favor of inclusion of such samples in the retention schedule have expressed concern that if such samples were definitively deemed public records in the future, their exclusion from the retention schedule would leave local agencies without lawful authority under which to destroy them. The inclusion of such records in the retention would provide the necessary authority for destruction for those local agencies who view such samples as public records according to RCW 40.14.010.

Negative

Stakeholder parties who have expressed a negative opinion in favor of providing disposition authority for laboratory and biological samples in Washington State records retention schedules believe laboratory and pathology samples do not possess the inherent qualities of a public record as defined in RCW 40.14.010. Samples lacking receptacles bearing writing would preclude their retention if a retention requirement were based on writing to be present. Furthermore, biological samples do not inherently evidence or document a local government agency's public business and would, therefore, be precluded from the definition provided under RCW 40.14.010.

*Summary of Factors
Effecting the Decision to Create Disposition Authorities for Laboratory and Pathology
Samples in Washington State Archives Records Retention Schedules*

Research by Washington State Archives staff has sought to evaluate retention schedules published by other states to determine whether there is a prevailing opinion among other states. The majority of states for whom published retention schedules could be located have not included laboratory and/or pathology samples (see Appendix 1). Specifically, Florida, Missouri, Nebraska, Nevada, Minnesota, New Jersey, and Virginia have published retention schedules for the health sector and medically-related records, but those schedules do not include disposition authority for laboratory and/or biological samples. Florida's retention schedule specifically says, "[t]he actual tissue samples/specimens are not public records and therefore are not covered by records retention schedules; see Rule 11G-2.004, Florida Admin. Code, Physical Evidence."

However, a minority of states with published retention schedules include laboratory and/or pathology specimens. Specifically, Texas, North Carolina, Oregon, and Wyoming have retention schedules which include biological materials. Among these retention schedules, none provide reference to any rule or statute requiring the inclusion of biological materials in a state retention schedule.

The National Archives and Records Administration (NARA) records retention schedule for the Department of Veteran Affairs (VA) also does not currently include disposal authority for biological specimens. However, an earlier version of the VA schedule approved 8/11/00 (NC1-015-99-002) did include laboratory specimens, but those series were struck from the schedule which, presumably, means they were not included in the approved version (see Appendix 2). A later version of the schedule approved 12/19/02 (NC1-015-02-004) does not include specimens (see Appendix 3).

Stakeholders have furthermore expressed concern in considering the precedent inclusion of such materials would set. By providing disposal authority for biological materials relating to laboratory and pathology functions in public hospitals, Washington State Archives would be creating a precedent that biological materials in general are rightfully considered public records and are, therefore, rightfully included in a records retention schedule. Such precedent would have implications beyond the healthcare sector, potentially affecting the law enforcement sector, courts, schools, public works, and environmental monitoring and protection agencies, all of whom create or acquire physical samples (of varying materials) in the course of agency business.

The Association of Washington Public Hospital Districts (AWPHD) has articulated concern about including biological samples (see Appendix 4). The AWPHD contends that these samples do not meet the statutory definition of public records and, therefore, advocates their exclusion from the retention schedule.

Washington State Archives consulted with its Attorney General, Kyle Crews, who advised that he did not believe that the specimens fitted the definition of a public record in RCW 40.14.010.

*Megan Bezzo
Washington State Archives
March 23, 2011*

Appendix 1

Summary of Research - Other States' Retention Periods for Pathology Specimens

State	Specimens Scheduled? (Y/N)	What is Scheduled	Retention Period
Texas	Y	Pathology reports and slides. Actual specimens are not scheduled.	10 years
Florida	N	Records relating to lab sample/tissue tracking, but actual specimens are not scheduled. Medical Examiner's schedule includes documents relating to the collection, processing, and testing of stained sections, embedded tissues, and specimens. However, the schedule states, "[t]he actual tissue samples/specimens are not public records and therefore are not covered by records retention schedules; see Rule 11G-2.004, Florida Admin. Code, Physical Evidence."	N/A
Missouri	N	Lab specimen tracking logs are scheduled, but specimens are not.	N/A
North Carolina	Y	Schedule does include paraffin blocks, slides, wet tissue, and slides.	Paraffin blocks: 10 years Slides: 10 years Wet tissue: 3 mos. or 30 days

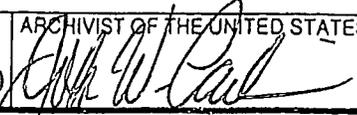
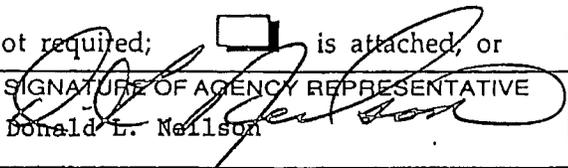
Appendix 1

Summary of Research - Other States' Retention Periods for Pathology Specimens

Oregon	Y	Schedule includes specimen blocks, test slides, and tissue remnants.	Specimen blocks: 2 years Test slides (histopathology): 10 years Cytology: 5 years or until obsolete/superseded
Nebraska	N	N/A	N/A
Nevada	N	N/A	N/A
Minnesota	N	N/A	N/A
New Jersey	N	Records relating to specimen control/tracking only.	N/A
Virginia	N	Records relating to lab/pathology reports only.	N/A

**Appendix 1
Summary of Research - Other States' Retention Periods for Pathology Specimens**

Wyoming	Y	<p>Lab specimens have their own record series covering wet tissue, paraffin blocks, slides, bone marrow slides, blood smears, serum and cell samples.</p>	<p>(Surgical Path) Wet tissue: retain 1 week after reported, then destroy. (Surgical Path) Paraffin blocks: retain 5 years, then destroy. (Surgical Path) Slides: retain 10 years, then destroy. (Surgical Path) Blood smears: retain 1 week, then destroy. (Surgical Path) Serum and cell samples: retain 3 days, then destroy. (Catology) Slides: retain 5 years, then destroy. Fine needle aspirations: retain 10 years, then destroy. (Autopsy) Wet tissue: retain 3 months after final report, then destroy. (Autopsy) Paraffin blocks: retain 5 years, then destroy. (Autopsy) Slides: retain 10 years, then destroy.</p>
Totals			
Y = 4		N = 7	

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-015-99-2	DATE RECEIVED 5/5/99
1. FROM (Agency or establishment) Department of Veterans Affairs (VA)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Veterans Health Administration (VHA)		DATE 8-11-00	
3. MINOR SUBDIVISION VA Medical Facilities			
4. NAME OF PERSON WITH WHOM TO CONFER Sherwin Lynch (lynsher@mail.va.gov)	5. TELEPHONE 202-273-8312	ARCHIVIST OF THE UNITED STATES 	
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>8</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested.			
DATE 8/20/99	SIGNATURE OF AGENCY REPRESENTATIVE  Donald L. Neilson	TITLE Director, Information Management Service	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	<p>Pathology and Laboratory Medicine Service Records</p> <p>This SF 115 covers records created to provide anatomic pathology, blood transfusion, and clinical pathology services. The records include test requisitions, test records, test reports (preliminary and final), pathology test reports, test procedures, proficiency testing records, test results, specimen records, and other records used to gather specific information for patient care. These records exist in a variety of record mediums. However, regardless of the medium, specimens, paper, etc. are to be disposed of in accordance with their respective retention and disposal requirements. Several of these records are filed in the patient's medical records folder which is retained for 75 years after the last episode of patient care.</p> <p>Records listed on this SF 115 are maintained by VHA Laboratory Services.</p> <p>Blood Donor Records are covered by the Privacy Act System 04VA113, Blood Donor File-VA. Auxiliary medical records created as a result of specific laboratory tests or procedures are included as part of the Privacy Act System 24VA136, Patient Medical Records-VA. A new Privacy Act notice will be published for the Laboratory Service Personnel Records.</p> <p>Test Requisition Files: Requisitions and related documents used by the provider to request that the laboratory perform certain tests on a patient.</p> <p>Disposal: Destroy after 2 years.</p>		

Agency, NWRD, NR, NWRD-B

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

PAGE

2 OF 8

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
2.	<p>Test Record Files: Documents that record the results of the test, the date, the name of the individual who performed the test, and the name of the individual who verified the test.</p> <p>Disposal: Destroy after 2 years.</p>		
3.	<p>Laboratory Copies Test Reports (preliminary, final, corrected): This file consists of reports that provide results of a particular test on a particular patient, the identification of the laboratory performing the test and the normal range of values.</p> <p>Disposal: Destroy 2 years after the date of the report.</p>		
4.	<p>Pathology Test Reports: These reports consist of the clinical pathologist's consultation reports including supporting documents.</p> <p>Disposal: Destroy 25 years after the date of the report.</p>		
5.	<p>Quality Control Records: These records document the results of the control testing performed on a machine, the validation testing of a machine, the monitoring of the temperature in an incubator or refrigerator or other indicators monitored to ensure that the laboratory is performing quality work.</p> <p>Disposal: Destroy after 5 years.</p>		
6.	<p>Test Procedures Files: These files consist of documents that instruct an individual how to perform a laboratory test.</p> <p>Disposal: Destroy 2 years after the procedures have been discontinued.</p>		
7.	<p>Proficiency Testing Records: These documents record the date of the proficiency test; type of test; instrument used, if appropriate, results and individual performing the test.</p> <p>Disposal: Destroy after 2 years.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

PAGE
3 OF 8

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
8.	<p>Records of Remedial Action after Proficiency Testing (PT) Failure: These records document the corrective action taken by the laboratory that fails a particular proficiency sample.</p> <p>Disposal: Destroy after 2 years.</p>		
9.	<p>Instrument Maintenance Records: These records document the date and type of preventive maintenance performed on laboratory equipment.</p> <p>Disposal: Destroy after 2 years.</p>		
10.	<p>Instrument Maintenance Records (repairs, parts, and replacement records): These records record repairs made, who performed the repairs, and the date the repairs were made.</p> <p>Disposal: Destroy 5 years after the instrument is no longer utilized.</p>		
11.	<p>Personnel Records: These records document competency, testing results, proficiency testing results and training. They consist of correspondence, forms, and copies of documents duplicated in the individual's official personnel folder. Note: The information dealing with competency and proficiency training is not found in the official personnel records.</p> <p>Disposal: Destroy after 30 years.</p>		
12.	<p>Body Fluids: These are specimens taken from patients for laboratory testing.</p> <p>Disposal: Destroy 24 hours after results are reported.</p>		
13.	<p>Peripheral Blood Smears, Body Fluids Smears: These are glass slides with a drop of either blood or body fluid affixed to them. They are stained and viewed under a microscope.</p> <p>Disposal: Destroy after 1 month.</p>		
14.	<p>Bone Marrow Smears: These are glass slides with a drop of bone marrow affixed to them. They are stained and</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

PAGE

4 OF 8

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (N. USE ONLY)
	<p>viewed under a microscope. These are used for diagnostic purposes.</p> <p>Disposal: Destroy after 20 years.</p>		
15.	<p>Permanently Stained Slides for Microbiology (e.g., gram, trichrome, etc.): A sample of a colony or specimen is placed on a glass slide, fixed and stained with one or more of a variety of stains.</p> <p>Disposal: Destroy after 1 month.</p>		
16.	<p>Specimens from Blood Bank Donors and Recipients: These are samples of blood taken from individuals who donate blood and those who receive blood products.</p> <p>Disposal: Destroy 7 days after transfusion or 10 days after crossmatch.</p>		
17.	<p>Donor and Recipient Records: These records contain vital information on individuals who donate blood and patients who receive blood or blood products.</p> <p>Disposal: Destroy after 75 years.</p>		
18.	<p>Records of Employee Signatures, Initials, Identification Codes: These records record the names, signatures, initials and codes used to identify which employee performed either the complete test or a particular part of a test.</p> <p>Disposal: Destroy after 75 years.</p>		
19.	<p>Test Procedures (Transfusion Medicine) Manual: This is a manual that describes how to perform the various procedures that are used in Transfusion Medicine.</p> <p>Disposal: Destroy after 5 years or after procedures are superseded.</p>		
20.	<p>Immunohematology Test Records and Reports: These are results of tests performed in immunohematology.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (N. USE ONE)
	Disposal: Destroy after 5 years.		
21.	<p>Quality Control Records and Proficiency Test Surveys: This is the documentation to the results of quality control testing and any corrective action that is taken and the results of the proficiency testing and, if the test results are wrong, corrective actions that are taken.</p> <p>Disposal: Destroy after 5 years.</p>		
22.	<p>Blood and Blood Products Quality Control Records: This is the documentation of the quality control testing performed on blood and blood products.</p> <p>Disposal: Destroy after 5 years.</p>		
23.	<p>Records of Permanently Deferred Donors: These are the donor records of individuals who may never donate blood.</p> <p>Disposal: Destroy after 75 years.</p>		
24.	<p>Infectious Disease Records: This is the documentation concerning infectious diseases identified in blood of donors or recipients.</p> <p>Disposal: Destroy after 75 years.</p>		
25.	<p>Tissue Banking Records: Quality Control Records, Superseded Procedures, Manuals, Publications, Storage Temperature Records, Records of Source Facility (original numeric or alphanumeric donor or lot identification, and recipients or other final disposition of each tissue)</p> <p>Disposal: Destroy after 5 years.</p>		
26.	<p>Histopathology Stained Slides: These are tissue slides that have been processed and stained.</p> <p>Disposal: Destroy 25 years from the date of the exam.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

PAGE

6 OF 8

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
27.	Histopathology Blocks: These are paraffin blocks that contain patient tissue		
	Disposal: Destroy 10 years from the date of the exam.		
28.	Wet Tissue: Patient tissues that have not been fixed with a preservative.		
	Disposal: Destroy 2 weeks after final report.		
29.	Reports (Surgical Pathology): These reports contain the results of the review of tissue by pathologists. The report usually contains a diagnosis of the patient's health status.		
	Disposal: Destroy after 25 years.		
30.	Accession Logs (Surgical Pathology): This log contains the list of tissues received, the patient identification and the laboratory number assigned to the specimen.		
	Disposal: Destroy after 5 years.		
31.	Maintenance Records: These records document the date and type of preventive maintenance performed on laboratory equipment		
	Disposal: Destroy after 5 years.		
32.	Cytology Slides (negative, unsatisfactory): These are glass slides with a patient samples affixed to them and stained for cytology examination.		
	Disposal: Destroy after 5 years.		
33.	Cytology Slides (suspicious, positive): These are glass slides with a patient samples affixed to them and stained for cytology examination.		
	Disposal: Destroy after 25 years.		

REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION

JOB NUMBER

PAGE

7 OF 8

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (N USE ONLY)
34.	<p>Cytology Fine Needle Aspiration Slides: These are glass slides with a patient samples obtained by a fine needle aspiration affixed to them and stained for cytology examination.</p> <p>Disposal: Destroy after 25 years.</p>		
35.	<p>Reports: (Cytology) These are the official findings of the pathologist that review the cytology slides.</p> <p>Disposal: Destroy after 25 years.</p>		
36.	<p>Accession Log Reports (Cytology): This report contains the list of specimens received for cytology examination, the patient identification and the laboratory number assigned to the specimen.</p> <p>Disposal: Destroy after 5 years.</p>		
37.	<p>Wet Tissue (Autopsy): Patient tissues removed at autopsy that have not been fixed with a preservative.</p> <p>Disposal: Destroy 6 months after final report.</p>		
38.	<p>Paraffin Blocks (Autopsy): Paraffin blocks that contain patient tissues that were removed at autopsy.</p> <p>Disposal: Destroy 10 years after the date of final report.</p>		
39.	<p>Slides (Autopsy) These are glass slides with patient samples removed at the time of the autopsy examination.</p> <p>Disposal: Destroy 25 years after the date of final report.</p>		
40.	<p>Reports (Autopsy): These are the official findings of the pathologist after the performance of the autopsy and the review the autopsy slides.</p> <p>Disposal: Destroy ²⁵/30 years after date of final report.</p>		

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (N. USE ONLY)
41.	<p>Accession Log (Autopsy): This is the list of specimens received from autopsies for examination, the patient identification and the laboratory number assigned to the specimen.</p> <p>Disposal: Destroy 5 years after date of final report.</p>		
42.	<p>Electronic version of records created by electronic mail and word processing applications.</p> <p>Delete when recordkeeping copy is generated</p> <p><i>Item 42 Amended by Wilber Willes via telephone with Sherwin Lynch /VA, 5/4/99</i></p> <p><i>Modifications to other scheduled items approved by Sherwin Lynch on 1/24/00. See enclosed e-mail by Jimmie Trigg</i></p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-15-02-04</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) WASHINGTON, DC 20408		DATE RECEIVED <i>5/21/2002</i>	
1. FROM (Agency or establishment) Department of Veterans Affairs (VA)		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION Veterans Health Administration (VHA)			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Sherwin Lynch (lynsher@mail.va.gov)	5. TELEPHONE 202-273-8312	DATE <i>12-19-02</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>20</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, is not required; is attached; or has been requested.			
DATE <i>5/14/02</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Donald L. Neilson</i>		TITLE Director, Information Management Service
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

Pathology and Laboratory Medicine Service Records

This SF 115 covers records created and maintained by the Department of Veterans Affairs (VA) Pathology and Laboratory Medicine Services located at VA medical facilities. The records consist of the General Laboratory Quality Control Records and Proficiency Test Surveys, Instrument Maintenance Records, copies of Personnel related records, Test Procedures (Transfusion Medicine) Manual, Blood Bank Test Records and Reports, Blood Bank Quality Control Records and Proficiency Test Surveys, Tissue Banking Records for ~~Transportation~~, Surgical Pathology Maintenance Records, and the Tissue Banking Donor and Recipient Records for ~~Transportation~~.

Transplantation

Transplantation

CC: NR, NWMWA, + Agency 05/14/03

Records officer agreed by way of email on changes. rlf

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.

PAGE

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
1.	<p>General Laboratory Quality Control Records and Proficiency Test Surveys. These records document the results of control testing performed on a machine, the validation testing of a machine, the monitoring of the temperature in an incubator or refrigerator or other indicators to ensure that the laboratory is performing quality work.</p> <p>Disposal: Destroy after 2 years.</p>	RCS 10-1, item 113-16 and NARA Job N1-15-99-2, item 5	
2.	<p>Instrument Maintenance Records (repairs, parts, and replacement records): These records document repairs made, who performed the repairs, and the date repairs were made.</p> <p>Disposal: Destroy after the instrument is no longer utilized and is removed from service.</p>	RCS 10-1, item 113-21 and NARA Job N1-15-99-2, item 10	
3.	Personnel Records		
3a.	<p>a. These records consist of correspondence, forms, and other records duplicated in the individual's official personnel folder (OPP).</p> <p>Disposal: Destroy after 30 years.</p>	RCS 10-1, item 113-22 and NARA Job N1-15-99-2, item 11	
3b.	<p>b. These records contain competency assessments and proficiency training documents.</p> <p>Disposal: Destroy after 5 years.</p>		
4.	<p>Test Procedures (Transfusion Medicine) Manual: This manual describes how to perform the various procedures that are used in Transfusion Medicine.</p> <p>Disposal: Destroy after 5 years.</p>	RCS 10-1, item 113-30 and NARA Job N1-15-99-2, item 19	
5.	<p>Blood Bank Test Records and Reports</p> <p>These records contain the results of tests performed in the Blood Bank.</p> <p>Disposal: Destroy after 5 years.</p>	RCS 10-1, item 113-31 and NARA Job N1-15-99-2, item 20	

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.

PAGE

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
6.	<p>Blood Bank Quality Control Records and Proficiency Test Surveys</p> <p>These records contain documentation of the results of quality control testing, any corrective actions that are taken, results of the proficiency testing and, if the test results are wrong, corrective actions that are taken.</p> <p>Disposal: Destroy after 5 years.</p>	<p>RCS 10-1, Item 113-32 and NARA Job N1-15-99-2, item 21</p>	
7.	<p>Tissue Banking Records for Transplantation</p> <p>These records consist of quality control records, superseded procedures, manuals, publications, and storage temperature records.</p> <p>Disposal: Destroy after 5 years.</p>	<p>RCS 10-1, item 113-36 and NARA Job N1-15-99-2, item 25</p>	
8.	<p>Surgical Pathology Maintenance Records</p> <p>These records document the date and type of preventive maintenance performed on laboratory equipment.</p> <p>Disposal: Destroy after 2 years.</p>	<p>RCS 10-1, item 113-42 and NARA Job N1-15-99-2, item 31</p>	
9.	<p>Tissue Banking Donor and Recipient Records for Transplantation</p> <p>These records include documents of source facility (original numeric or alpha numeric donor or lot identification) and recipients or other final disposition of each tissue.</p> <p>Privacy Act System Number 04VA115, Blood Donor Information File-VA</p> <p>Disposal: Destroy after 75 years.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

JOB NO.

PAGE

7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	OF 10. ACTION TAKEN <i>(NARS USE ONLY)</i>
10.	<p>Electronic copies of records that are created on electronic mail and word processing systems used solely to generate a recordkeeping copy of the records covered by other items in this appraisal. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p>		
10a.	<p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal email directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>Disposal: Destroy/delete within 180 days after the recordkeeping copy has been produced.</p>		
10b.	<p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Disposal: Destroy when dissemination, revision, or updating is completed.</p>		

Appendix 4

Rec'd

MAR 17 2011

Secretary of State
WA. STATE ARCHIVES

Association of
Washington Public
Hospital Districts

Keeping Quality Care Local



March 16, 2011

Megan Bezzo
Electronic Records Management Consultant, Northwest Region
Washington State Archives
1129 Washington Street, S.E.
P.O. Box 40238
Olympia WA 98504-0238

Dear Ms. Bezzo,

The Association of Washington Public Hospital Districts (the "Association") would like to thank you for your continued efforts to update the *Public Hospital Districts Records Retention Schedule*. The current draft makes significant progress by clarifying retention categories and removing duplicative and conflicting series. However, the Association would like to request a change in the retention series for medical staff records and would like to reiterate our opposition to the inclusion of human fluid and tissue samples in the schedule.

Medical Staff Records. The 3rd draft of the retention schedule includes a series (Series 4.2.6) requiring the retention of medical staff records relating to peer review, privileging, and quality improvement for 8 years after termination of employment. The series then requires transferring these medical staff records to the Archives. The Association strongly opposes the requirement that medical staff records be sent to the Archives. Medical staff peer review, privileging, and quality improvement records are protected from disclosure under the Washington Public Records Act (RCW 42.56.360), RCW 70.41.200, and the federal Health Care Quality Improvement Act ("HCQIA"). If confidential medical staff review records are sent to the Archives, the state and federal protections and immunities that apply to these records will be compromised. Thus, the Association strongly urges the Local Records Committee to either remove Series 4.2.6 from the retention schedule or to revise the retention requirement to "Retain for 8 years after termination of medical staff privileges *then Destroy*."

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Megan Bezzo
Page Two
March 16, 2011

Human Tissue Samples. The Association would also like to reiterate our opposition to including human fluid and tissue samples within the public hospital district retention schedule. The Association has learned that the University of Washington has requested that the retention schedule be revised again to include specific retention series applicable to human fluid and tissue samples collected by public hospital districts (e.g. urine, blood, and soft tissue samples).

The Association strongly believes that human fluid and tissue are not "public records" as defined by Washington law and, therefore, cannot be included in the Archive's public record retention schedules.

The Local Records Committee authority is limited to establishing retention schedules for public records. RCW 40.14.070 and WAC 434-630-030 authorize the Local Records Committee to "adopt appropriate procedures for records disposition authorization, scheduling, and other matters relating to the retention, preservation, or destruction of *public records* of local government agencies". WAC 434-630-030 (emphasis added).

RCW 40.14, which created the Local Records Committee, defines "public record" as "any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...". RCW 40.14.010.

Essentially, Washington law defines "public record" as a medium that has been manipulated to store some type of communication or representation (e.g. written document, drawing, photo, videotape, voicemail, etc.). *See also* RCW 42.56.010. Human fluid and tissue collected by public hospital districts for diagnostic or therapeutic purposes is not used to store any type of communication or representation. Human fluid and tissue samples are merely tangible objects collected by public hospital districts during the course of their operations.

In interpreting Washington's public record laws, Washington courts often look to federal cases interpreting the Freedom of Information Act ("FOIA"). Federal cases have concluded that FOIA's definition of public record does not include tangible objects on which no information has been recorded.

Megan Bezzo
Page Three
March 16, 2011

See *Matthews v. USPS*, No. 92-1208, slip op. at 4 n.3 (W.D. Mo. Apr. 14, 1994) (holding that computer hardware is not a "record"); *Nichols v. United States*, 325 F.Supp. 130, 135-36 (D. Kan. 1971) (holding that archival exhibits consisting of guns, bullets, and clothing are not "records").

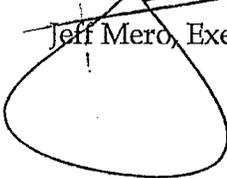
Additionally, the Association would also like to note that the University of Washington Medical Center, Harborview and the other hospitals and health care facilities affiliated with the University of Washington are not operated by a public hospital district as defined by 70.44 RCW. They are operated by the University of Washington, which is a state agency. There are significant differences between the University of Washington's health care facilities and Washington's public hospital districts, many of which are small rural hospitals with 25 or fewer hospital beds. The Association understands the University of Washington's desire to have better guidance regarding retention of human tissue and fluid samples, but human tissue and fluid samples are more appropriately governed by Department of Health licensing standards or standards of accreditation organizations such as the College of American Pathologists.

For the above reasons, the Association strongly urges the Local Records Committee to revise the retention series for medical staff records and not to include series applicable to human fluid and tissue samples in the *Public Hospital Districts Records Retention Schedule*.

Sincerely,

A handwritten signature in black ink, appearing to read "Jeff Mero", with several overlapping loops and a long horizontal stroke extending to the right.

Jeff Mero, Executive Director

A large, circular handwritten scribble in black ink, located below the signature and partially overlapping the typed name.