

This schedule applies to: Department of Health

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Health and the State Board of Health relating to the unique functions of protecting and improving the health of the people of Washington State. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

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

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

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Department of Health and its predecessors are revoked. The Department of Health must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 5, 2019.

Signature on File

For the State Auditor:
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REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 5, 2012	Consolidation and major revision of all existing disposition authorities.
1.1	December 4, 2013	<p>Revisions to the Program Management, Investigations, Environmental Health, Healthcare Professions, Shellfish Operations, Radiation Facility and Professional Licensing and Radionuclide Free Food Certifying, and Legacy Records sections, with other minor revisions for clarification. Addition of the Indoor Air Quality section. Addition of the <i>Healthcare Professional Credential Applications – Imaged Source Records</i> series approving destruction of the paper copies of Healthcare Professional Credential Applications that have been scanned.</p> <p>Major changes include:</p> <ul style="list-style-type: none"> • Designations of all Permanent Archival Records after appraisal by the Archives; • Designations of all Essential Records; • Retention cut-offs simplified, wherever possible; and, • Addition of a Subject Index and Essential Records Index.
1.2	June 3, 2015	Minor revisions to the Agency Management, Radiation Protection, Vital Records, and Legacy Records sections. Addition of a Records with Minimal Retention Value section.
1.3	December 7, 2016	Further consolidation of disposition authorities. Alignment of schedule with just released SGGRRS version 6.0. Removal of Financial Management, Records with Minimal Retention Value and Legacy Records section Addition of the Public Health Assessments, Studies, Research Projects section.
1.4	June 5, 2019	Minor revisions to the Licenses, Permits, Credentials section for functions transferred from the Department of Social and Health Services as part of the Behavior Health Initiative and for functions transferred to the Office of the Insurance Commissioner relating to Independent Review Organizations.

For assistance and advice in applying this records retention schedule,
please contact the Department of Health's Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov

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1. AGENCY MANAGEMENT

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

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

1.1 EXECUTIVE LEVEL RECORDS

Records relating to the executive level of the agency not currently covered by the State Government General Records Retention Schedule.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68386 Rev. 1	<p>Agency-Wide Accreditation Files</p> <p>Records created or used in development of applications for agency-wide certifications submitted to national accreditation programs. The certification process assists the agency to continually improve its performance and transparency. May include but is not limited to agency plans, policies, procedures, reports, performance measurements, and statistics.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Public Health Standard Accreditation Files. 	<p>Retain for 6 years after accreditation</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.2 RISK MANAGEMENT

Records relating to the identifying and migrating risks to the state government agency including disaster preparedness not currently covered by the State Government General Records Retention Schedule.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68382 Rev. 2	<p>Accidents/Incidents (Hazardous Materials) – Human Exposure</p> <p>Records documenting accidents and incidents, occurring on agency property or to agency staff that involve human exposure to potentially hazardous materials.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Description of accident/incident, response, and investigation; • Personal exposure information, physical examination reports, etc.; • Analyses of medical or exposure records (WAC 296-802-20015); • Other records as specified (or excluded) in WAC 296-802-20010. <p>Hazardous materials include, but are not limited to:</p> <ul style="list-style-type: none"> • Toxic substances or harmful physical agents as defined by CFR 1910.1020(c)(13); • Hazardous materials as defined by RCW 70.136.020; • Dangerous waste, extremely dangerous waste, hazardous substances or hazardous waste as defined by RCW 70.105.010; and • Pesticides as defined by RCW 15.58.030. <p>Excludes records of exposure of agency employees (includes contractors and volunteers) covered by <i>Employee Medical and Exposure Records (DAN GS 03039)</i>.</p> <p><i>Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.</i></p>	<p>Retain for 100 years after individual's date of birth</p> <p><i>or</i></p> <p>30 years after individual's date of death, whichever is sooner</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>(for Disaster Recovery)</p> <p>OPR</p>

1.2 RISK MANAGEMENT

Records relating to the identifying and migrating risks to the state government agency including disaster preparedness not currently covered by the State Government General Records Retention Schedule.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-02-62429 Rev. 1	<i>Ergonomic Assessment Reports</i> Ergonomic assessment reports and affiliated worksheets that document adjustments and recommendations for individual employees' workspace.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-02-62203 Rev. 1	<i>Investigator/Inspector Credential Applications – Approved</i> Records used for approving and issuing investigator/inspector credentials to agency staff as pursuant to state law. Investigator/inspectors look into violations of laws and regulations, collect evidence in cases in which the agency may be a party of interest, and perform other assignments under agency jurisdiction as per RCW 18.064.050 and 18.130.	Retain for 1 year after expiration of credentials <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

2. ASSET MANAGEMENT

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

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

2.1 ENVIRONMENTAL MANAGEMENT

Records relating to the activity of protecting the agency's managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality not currently covered by the State Government General Records Retention Schedule.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-04-57631 Rev. 2	<i>Hazardous Materials Disposal Records and/or Certificate of Destruction</i> Documentation of hazardous materials disposed of by the agency. <i>Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.</i>	Retain for 50 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

3. PROGRAM MANAGEMENT

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68383 Rev. 1	<p><i>Accreditations, Certification and License Documentation for Program Functions and Operations</i></p> <p>Includes documentation of any mandatory or voluntary accreditation, certification or licenses for any aspect of a program's functions and/or operations. The certification process assists programs to continually improve their performance and transparency. May include but not limited to program plans, policies, procedures, reports, performance measurements, and statistics.</p>	<p>Retain for 6 years after superseded or terminated <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
05-10-60991 Rev. 3	<p><i>Agreements with Federal Agencies for Program Responsibility/Authority/Primacy</i></p> <p>Records documenting the agency's agreement to manage or oversee specific responsibilities/authorities/primacy with federal agencies for specific functions/programs. Agreements may cover enforcement, reporting, data-sharing, record-keeping, and program planning requirements. Agreements are reviewed on a cyclical basis and may include subsequent revisions and updates.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agreements; • Related correspondence. 	<p>Retain for 6 years after end of agreement <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR</p>

4. HEALTH SERVICES TO YOU AND YOUR FAMILY

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

4.1 CLIENT ASSISTANCE SERVICES

The activity of assisting individuals improve and maintain their health.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96-09-57022 Rev. 3	<p>Client Files</p> <p>Records relating to the provision/authorization of support services needed to improve and maintain an individual's health. May include the application for eligibility, medical diagnosis, medical disabilities indicators, financial information, doctor identifiers, patient information, medications, and insurance coverage.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> HIV/AIDS Client Files; Medical Marijuana Authorizations & Recognition Cards. 	<p>Retain for 6 years after client is deceased or file is inactive</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>

4.2 INFANTS, CHILDREN, TEENS ASSISTANCE SERVICES

The activity of protecting and improving the health of infants, children, and teens.

See the Public Health Laboratories section for record series related to newborn blood screening.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68424 Rev. 0	<p><i>Children with Special Needs Tracking Systems</i></p> <p>Systems used to track services provided to children with special health care needs served through local health jurisdictions. Includes patient demographic information. Data collected may also be used for statistical and research purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Child Health Intake Database. 	<p>Retain for 7 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
05-04-60848 Rev. 2	<p><i>Cytogenetic Test Applications</i></p> <p>Applications for individuals within certain poverty guidelines to receive cytogenetic testing paid for by the Department of Health. Applications are received from genetics counselors.</p>	<p>Retain for 6 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
05-04-60850 Rev. 3	<p><i>Newborn Hearing Screening Cards</i></p> <p>Early hearing loss detection, diagnosis and intervention test/screening records.</p> <p><i>Note: See the Public Health Laboratories section for record series related to newborn blood screening.</i></p>	<p>Retain for 3 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.3 IMMUNIZATIONS

The activity relating to tracking and promoting the use of immunizations, to protect and improve family and community health.

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

4.4 WOMEN, INFANTS, CHILDREN (WIC) HEALTH AND NUTRITIONAL SERVICES

The activity relating to improving the health and nutrition status of pregnant women, new mothers, infants, and children under five.

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

5. ILLNESS AND DISEASE

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

5.1 ANIMAL IMPORTATION

The activity relating to monitoring of animal importation to prevent the spread of disease.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68385 Rev. 1	<i>Animal Importation Documents</i> Records related to the importation of certain animals into Washington to ensure they pose no hazard to public health, including dogs imported into Washington from outside the United States and bats imported into Washington from other states.	Retain for 6 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 INVESTIGATIONS

The activity of investigating illness and disease.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-10-60572 Rev. 2	<i>Communicable Disease Outbreak Investigations</i> Investigations and reports of unusual communicable disease outbreaks that involve large numbers of people, deaths, and new or unknown causes. Used for research and for comparative studies in the event of similar future outbreaks.	Retain for 10 years after case closed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
95-06-55118 Rev. 2	<i>Foodborne Illness Investigations</i> Records relating to foodborne illness investigations. May include copies of lab results, copies of epidemiology, hazard analysis critical control points, reports, correspondence, and questionnaires.	Retain for 6 years after case closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
94-08-54053 Rev. 3	<i>Pesticide Exposure Investigations – All Other Investigations</i> Records related to pesticide related illness investigations. May include medical records, referrals from various agencies, correspondence, incident reports, records of conversations, Labor and Industry claim forms, and pesticide incident summary reports.	Retain for 6 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 INVESTIGATIONS

The activity of investigating illness and disease.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68401 Rev. 1	<i>Pesticide Exposure Investigations – Historically Significant Investigations</i> Records related to pesticide related illness investigations that <i>are unusual, result in death, involve the use of new or illegal products, are of public interest, or that involve a relatively large number of affected people</i> . May include medical records, referrals from various agencies, correspondence, incident reports, records of conversations, Labor and Industry claim forms, and pesticide incident summary reports.	Retain for 6 years after case closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
13-12-68478 Rev. 0	<i>Shellfish Illness Investigation Summary Records</i> Summary records of shellfish related illnesses such as Vibrio Parahaemolyticus (Vp) and Norovirus. Includes, but is not limited to: <ul style="list-style-type: none"> • Shellfish Illness Log. 	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
09-03-61966 Rev. 2	<i>Shellfish Illness Investigations, Studies, Research Projects</i> Investigations of shellfish related illnesses such as Vibrio Parahaemolyticus (Vp) and Norovirus. May include documents such as minutes and agendas, surveys, samples, investigation files, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports. Used to improve public health and safety and identify shellfish illness trends. <i>Note: Vibrio Parahaemolyticus Outbreak Investigations are required by WAC 246-282-006.</i>	Retain for 30 years after end of project or investigation <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 INVESTIGATIONS

The activity of investigating illness and disease.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68423 Rev. 1	<i>Waterborne Disease Outbreak Investigations</i> Records relating to waterborne disease outbreak investigations. May include lab results, photographs, interviews, correspondence, and reports. Used for developing training events, research, and for comparative studies in the event of similar future outbreaks.	Retain for 6 years after case closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
06-05-61159 Rev. 2	<i>Zoonotic Disease Case Investigations</i> Records related to zoonotic or vector-borne disease investigations. May include correspondence, copies of reports collected by local health department officials, records of conversations, photographs, maps, lab and testing results, and case summaries.	Retain for 6 years after case closed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

5.3 NOTIFIABLE CONDITIONS

The activity of tracking illness and disease.

See the HIV/AIDS Assistance Services section for records related to provision of services to those with HIV/AIDS.

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

5.4 PUBLIC HEALTH RISK NOTIFICATIONS

The activity of notifying the public of health risks.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68404 Rev. 2	<p>Public Health Risk Notifications</p> <p>Notifications of Public Health Risks issued.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Product Recall Files including food and shellfish; • Commercial Shellfish Biotoxin Closure Logs; • Biotoxin Bulletins; • Notifications issued by the Secretary of Health. 	<p>Retain for 6 years after date of document</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

6. PUBLIC HEALTH ASSESSMENTS, STUDIES, RESEARCH PROJECTS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-12-26521 Rev. 3	<p>Public Health Assessments, Studies, Research Projects</p> <p>Assessments, studies and research projects addressing public health issues <u>where not covered by a more specific series</u>. May include documents such as minutes and agendas, surveys, samples, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Community Health Systems Assessments, Studies, Research Projects <p>Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by <i>Studies (Major) – Final Reports (Unpublished)</i> (GS 10016).</p>	<p>Retain for 6 years after end of project <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

7. ENVIRONMENTAL HEALTH

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68394 Rev. 1	<p><i>Environmental Health Assessments, Studies, Research Projects</i></p> <p>Investigations examining the relationship between environmental contamination and human exposure and health effects. May focus on environmental and chemical contaminants at specific sites or communities. May include documents such as minutes and agendas, surveys, samples, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Health Site Assessment and Investigation Files; • Disease Cluster Investigations. <p>Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by <i>Studies (Major) – Final Reports (Unpublished)</i> (GS 10016).</p>	<p>Retain for 6 years after end of project <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
96-06-56878 Rev. 3	<p><i>Environmental Radiation Projects</i></p> <p>Studies of environmental radiation issues not necessarily related to a site. May include surveys, reports, correspondence, lab results, and final reports.</p> <p>Excludes major studies initiated at the executive level and/or conducted in response to a legislative executive, federal or court order covered by <i>Studies (Major) – Final Reports (Unpublished)</i> (GS 10016).</p>	<p>Retain for 50 years after project completed <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96-06-56872 Rev. 2	<i>Environmental Radiation Sampling Records</i> Records related to measuring levels of radiation in the air, water, soils foods and other media. Includes chain of custody documents, correspondence, data sheets, and test results.	Retain for 50 years after case sample received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
96-06-56877 Rev. 1	<i>Environmental Radiation Site Monitoring and Assessment Files</i> Documents compliance monitoring conducted at facilities which have radioactive material and have the potential to release radioactive material to the environment. Includes investigations and risk assessments which document the impact on health issues and any effects to the environment.	Retain for 50 years after site closed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
97-02-57499 Rev. 2	<i>Shellfish Growing Area Files</i> Records used to classify shellfish growing areas. Includes sanitary survey reports describing sanitary conditions of a shellfish growing area, shoreline surveys, triennial and annual reviews, water quality data, information on the physical characteristics of an area, reclassifications, conditionally approved area management plans, wastewater treatment plant and marina evaluations, special studies, and correspondence.	Retain for 20 years after new survey completed <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR
97-02-57501 Rev. 4	<i>Water Bacteriology Data Sheets (a.k.a. Water Data Sheets)</i> Laboratory raw data results of water samples that are tested for fecal coliform levels. Data results are used to classify commercial and recreational shellfish growing areas. Data sheets may also include hand-written details of weather events, and human and wildlife activities. These results are used to establish long-term water quality trends in shellfish growing areas.	Retain for 20 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8. LICENSES, PERMITS, CREDENTIALS

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

8.1 RECORD SERIES COMMON TO ALL LICENSING, PERMITTING, CERTIFYING AND INSPECTING

The activity relating to the credentialing of facilities and individuals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-06-69378 Rev. 0	<i>Alcohol and Drug Program Certification Files</i> Provides documentation for the certification of chemical dependency treatment programs under WAC 388-805 by the division. <i>Note: Replaces DAN 81-04-27408 granted to the Department of Social and Health Services.</i>	Retain for 6 years after end of month <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
12-12-68393 Rev. 1	<i>Engineering/Planning Project Files – Disapproved/Withdrawn</i> Records relating to disapproved or withdrawn applications for engineering project/planning project files and where not covered by a more specific series. Includes, but is not limited to: <ul style="list-style-type: none"> Wastewater System Facility Files – Disapproved/Withdrawn; Drinking Water System Engineering and Planning Project Files – Disapproved/Withdrawn. 	Retain until disapproved or withdrawn and no longer needed for administrative purposes <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.1 RECORD SERIES COMMON TO ALL LICENSING, PERMITTING, CERTIFYING AND INSPECTING

The activity relating to the credentialing of facilities and individuals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68399 Rev. 0	<p>License, Permit, Product Review, and Credential Applications – Disapproved/Withdrawn</p> <p>Records relating to disapproved or withdrawn applications for licenses, permits, product reviews, and credentials, and where not covered by a more specific series.</p> <p>Excludes disapproved or withdrawn applications for:</p> <ul style="list-style-type: none"> Pharmacy firms licenses covered by <i>Pharmacy Firms License Applications – Incomplete/Closed (DAN 94-02-53598)</i>; Healthcare Professional Credentials covered by <i>Healthcare Professional Credential Applications – Incomplete/Rejected/Failed (DAN 92-06-50589)</i>. 	<p>Retain for 1 year after disapproved or withdrawn <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
08-08-61830 Rev. 3	<p>Facility Inspection Reports</p> <p>Records relating to the inspection of facilities, where not covered by a more specific record series. Facilities are inspected to enforce safety standards. May include inspection reports, supporting documentation, recommendations for improvement, plans of correction, directed plans of correction, progress reports, and any correspondence related to inspections.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Health Facilities Inspections; Indoor Air Quality Site Visit Records to schools, state agencies and other facilities. 	<p>Retain for 6 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

8.2 DRINKING WATER FACILITIES AND PROFESSIONALS

The activity relating to licensing and working with licensed drinking water facilities and personnel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05-10-61006 Rev. 1	Cross Connection Annual Summary Reports Reports received by the agency from water purveyors, on the current status of cross connection control program plans and their implementation, as required by WAC 246-290-490 and RCW 70.119. Cross connections are any actual or potential physical connections between a drinking water system and any other non-potable substance (liquid, solid, or gas) capable of contaminating the drinking water system.	Retain for 6 years after date of submission <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68389 Rev. 1	Cultural Review Files Records relating to evaluation of the potential effects of capital infrastructure improvement projects on historic properties and cultural resources. May include project review sheets, archaeological surveys, monitoring plans, inadvertent discovery plans, reports, consultation letters, and other correspondence. Includes, but is not limited to: <ul style="list-style-type: none"> National Historic Preservation Act Section 106 Process Cultural Reviews for Public Water Systems. 	Retain for 15 years after final determination <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
05-10-61008 Rev. 2	Drinking Water System Alternative Filtration Technology Approvals – Approved Records related to the approval of use of alternative filtration technologies in drinking water systems. <i>Note: 40 CRF 142.14(a)(4)(ii)(C)(11) and (a)(7)(ii) requires these records be kept until decision to approve technology is reversed or revised.</i>	Retain until decision is reversed or revised <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.2 DRINKING WATER FACILITIES AND PROFESSIONALS

The activity relating to licensing and working with licensed drinking water facilities and personnel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98-04-58376 Rev. 4	<p><i>Drinking Water System and Operating Permit Fee Statements</i></p> <p>Records received from water purveyors documenting daily reconciliation of payments from all state water systems and refunds of overpayment. Statements are also used to update information on water systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Operating Permits; • Operator Certifications; • System Certifications; • Waiver Payments. 	<p>Retain for 6 years after received <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68425 Rev. 1	<p><i>Drinking Water System Data Tracking Systems</i></p> <p>Systems which track information on public drinking water systems. Including review/approval of certain documents submitted to the program, inventory, drinking water sampling data analysis, water conservation reports, consumer confidence reports, sanitary surveys, GIS data, cross-connection control data, operator and owner information, enforcement actions, and operating permit data.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • SENTRY database and all linked drinking water databases. 	<p>Retain for 6 years after no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR</p>

8.2 DRINKING WATER FACILITIES AND PROFESSIONALS

The activity relating to licensing and working with licensed drinking water facilities and personnel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05-08-60950 Rev. 2	<i>Drinking Water System Engineering and Planning Project Files – Approved</i> Records relating to the evaluation of the design, construction, and upgrade of wells, reservoirs, water distribution systems, and treatment facilities for groundwater and surface drinking water systems to ensure they produce safe and reliable drinking water. May include blueprints, specifications, plans, reports, updates/amendments, correspondence, meeting notes, and other related documents contributing to their approval.	Retain for 50 years after decommissioning of water source <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
96-10-57104 Rev. 6	<i>Drinking Water System Monitoring Files (a.k.a. Water System Correspondence Files)</i> Records relating to monitoring of drinking water systems ensuring facilities continue to produce safe and reliable drinking water. May include correspondence, directives, public notices, complaints, lab results, chemical reports, consumer confidence reports, information from local government agencies, compliance information, violations and enforcement actions.	Retain for 50 years after decommissioning of water source <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
05-10-61007 Rev. 2	<i>Drinking Water System Sampling Notifications</i> Communications sent to water purveyors informing them of their water sampling requirements per 40CFR141 and WAC 246-290-480. Sample test results are sent to the Department of Health by water purveyors and certified labs. <i>Note: Maintained three years for enforcement purposes.</i>	Retain for 3 years after received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.2 DRINKING WATER FACILITIES AND PROFESSIONALS

The activity relating to licensing and working with licensed drinking water facilities and personnel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95-06-55048 Rev. 3	<i>Waterworks Operators Applications – Approved</i> Records relating to the certification of drinking water system operators. May include rating forms, class, size, and mandatory operator information.	Retain for 6 years after credential inactive <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.3 HEALTHCARE FACILITIES

The activity relating to licensing and permitting healthcare facilities.

See the Public Health and Healthcare Provider section for the activity of working with Healthcare Facilities and Pharmacies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-06-52573 Rev. 1	<i>Certificate of Need Application Files</i> Applications of Certificate of Need regulated entities, providing services or facilities for provision of health care. Files may include Letter of Intent, initial application, screening questions/responses, correspondence, public hearing requests, public comments, decisions with written analysis, and adjudicative/judicial hearing filings, if appealed.	Retain for 25 years after decision <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
06-05-61195 Rev. 1	<i>Certificate of Need Facility Files</i> Files of certificate of need regulated entities containing historical information about the facility and significant certificate of need actions related to it. Files may include: <ul style="list-style-type: none"> • Determinations of Reviewability; • Decisions with supporting written analysis; • Certificate of Need, if application is approved; • Final adjudicative/judicial decisions, if the agency's decision is appealed; • Changes in ownership information; • Approved service area(s); • Approved bed/station counts and uses. 	Retain for 75 years after final action <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.3 HEALTHCARE FACILITIES

The activity relating to licensing and permitting healthcare facilities.

See the Public Health and Healthcare Provider section for the activity of working with Healthcare Facilities and Pharmacies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-06-69379 Rev. 0	<p>Closed Patient Chemical Dependency Treatment Record</p> <p>Records documenting patient chemical dependency treatment from a closed certified treatment agency.</p> <p><i>Note: The Department of Health is responsible for the records transferred to DOH from closed treatment facilities under 42 CFR Part 2 and HIPAA.</i></p> <p><i>Note: Series contains confidential information.</i></p> <p><i>Note: Replace DAN 81-04-27408 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after certification cancel date <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
70-11-01200 Rev. 6	<p>Construction Review Files</p> <p>Records documenting the construction review process. Healthcare facility construction projects are reviewed to verify compliance with minimum standards and encourage best practices – ensuring facilities with safe and healthy physical environments. May include facility blue prints, specifications, completion reports, exemption requests, and plan reviews.</p>	<p>Retain for 50 years after review completed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
03-07-60567 Rev. 1	<p>Coordinated Quality Improvement Plans</p> <p>Quality improvement plans received from healthcare entities and reviewed by the agency per RCW 43.70.510 and WAC 246-50-001. These plans are designed to improve the quality of health care services and prevent healthcare malpractice.</p>	<p>Retain for 6 years after termination of plan <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

8.3 HEALTHCARE FACILITIES

The activity relating to licensing and permitting healthcare facilities.

See the Public Health and Healthcare Provider section for the activity of working with Healthcare Facilities and Pharmacies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00-07-59817 Rev. 3	Facility Credentialing Files Documentation about licensing a facility where not covered by a more specific record series. File may include initial application and associated correspondence, waivers, exemptions, variances, change approval, change of ownership and final merger documents.	Retain for 10 years after credentialed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
19-06-69381 Rev. 0	Mental Health Program and Facility Review Files Provides documentation of program reviews and site visits. <i>Note: Replace DAN 81-12-29376 granted to the Department of Social and Health Services.</i>	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
94-02-53597 Rev. 1	Pharmacy Firms License Applications – Approved Provides documentation of licensing pharmacies, manufacturers and wholesalers to ensure standards in the practice of pharmacy and patient safety. May include inventories of controlled substances and distribution of prescriptions.	Retain for 60 years after credentialed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
94-02-53598 Rev. 1	Pharmacy Firms License Applications – Incomplete and Closed Provides documentation of firms who have started and never completed the application process.	Retain for 6 years after received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.4 HEALTHCARE PROFESSIONS

*The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.
See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-06-69380 Rev. 0	<p>Continuing Education Units (CEU) Training Documentation</p> <p>Records documenting the behavioral training conducted by employees and/or private sector trainers provided to participants to gain Continuing Education Units (CEU) in order to acquire or maintain a professional license or certification to provide counseling. These records are retained to document that an attending CEU participant earned their license or certification.</p> <p><i>Note: If training is conducted through a college, the college is required to maintain the completion or certification files.</i></p> <p><i>Note: Based on DAN 09-11-62153 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after end of month <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50592 Rev. 3	<p>Credential Renewal File Notices</p> <p>Documentation of licensees renewing expiring credentials. May include audits of continuing education experience reported by the applicant.</p>	<p>Retain until end of renewal cycle <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
94-08-54000 Rev. 1	<p>Drug Lab Cleanup Credential Applications – Approved</p> <p>Records relating to the licensing and certifying of workers, supervisors, contractors, or training providers who decontaminate clandestine drug labs.</p>	<p>Retain for 6 years after credentialed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

8.4 HEALTHCARE PROFESSIONS

*The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.
See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68392 Rev. 1	EMS Training Course Files – Approved Department of Health approves all initial EMS training courses that are taught by EMS Training Programs. The EMS training course applications are reviewed to assure that education standards and instructional guidelines are followed for each course. Records to be maintained include the application, correspondence and course completion rosters.	Retain for 7 years after approval <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-12-26515 Rev. 3	EMS Training Program Files – Approved Training programs are Department of Health approved organizations that coordinate and conduct initial EMS training courses. A training program is responsible for how initial EMS training is provided to assure quality education. Records to include the application, supporting documents (e.g., student handbook, facility description, equipment), correspondence and performance reporting.	Retain for 15 years after approval <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
94-02-53608 Rev. 1	Healthcare Professional Continuing Education Program Approval Records Records documenting those requirements have been met for qualifications as a continuing education course. <i>Note: Individual files reflect approval information.</i>	Retain for 2 years after received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.4 HEALTHCARE PROFESSIONS

The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.

See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50588 Rev. 2	<p><i>Healthcare Professional Credential Applications – Approved</i></p> <p>Records relating to the approval of healthcare professional credential applications by the Department of Health.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Supporting documentation used to determine that credentialing standards have been met (such as academic transcripts, AIDS training, verification of national exams, reference forms, out-of-state verification, work experience documentation, etc.). <p>Excludes applications and supporting documentation covered by <i>Healthcare Professional Credential Applications – Imaged Source Records (DAN 13-12-68475)</i>.</p> <p><i>Note: May contain personal medical information of the applicant.</i></p>	<p>Retain for 40 years after credentialed</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention)</p> <p>ESSENTIAL (for Disaster Recovery) OPR</p>

8.4 HEALTHCARE PROFESSIONS

The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.

See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13-12-68475 Rev. 0	<p>Healthcare Professional Credential Applications – Imaged Source Records</p> <p>Paper-based applications and supporting documents relating to healthcare professional credential applications that have been imaged provided that:</p> <ul style="list-style-type: none"> Source records are imaged in accordance with Washington State Archives' <i>Requirements for the Destruction of Non-Archival Paper Records after Imaging</i>; Digital images of approved applications are retained in accordance with <i>Healthcare Professional Credential Applications – Approved (DAN 92-06-50588)</i>; and Digital images of incomplete/rejected/failed applications are retained in accordance with <i>Healthcare Professional Credential Applications – Incomplete/Rejected/ Failed (DAN 92-06-50589)</i>. <p><i>Note: The "Archival" records series for approved applications was appraised by Washington State Archives in May 2013 and determined that the digital images could be retained in lieu of the paper source records.</i></p>	<p>Retain until verification of successful conversion <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50589 Rev. 3	<p>Healthcare Professional Credential Applications – Incomplete/Rejected/Failed</p> <p>Records relating to the disapproval of healthcare professional credential applications by the Department of Health where the applicants submitted an incomplete application, failed their examinations, or did not meet the minimum credentialing requirement.</p> <p><i>Note: May contain personal medical information of the applicant.</i></p>	<p>Retain for 10 years after disapproval <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

8.4 HEALTHCARE PROFESSIONS

*The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.
See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
15-06-68753 Rev. 1	Healthcare Professional Credential Background Check – History Found Results and summaries of background checks of healthcare professional credential applicants where a criminal or non-conviction history is found. Washington State Law (RCW 18.130.064) requires the agency conduct background checks as part of the credentialing process. Excludes Results of FBI Background Check where no history is found . These are covered by <i>Records Documented as Part of More Formalized Records (GS 50012)</i> .	Retain until the decision to approve/disapprove the credential is made and can no longer be appealed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
95-06-55063 Rev. 2	Healthcare Professional Education Provider Accreditation Records Documents site visits and accreditation reports. Per RCW 46.01.260	Retain for 10 years after site visit or report completed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50590 Rev. 2	Healthcare Professional Examinations Provides a record of a professional competency examination completed by an applicant. Examination may be given by the Department of Health.	Retain for 25 years after exam taken <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
15-06-68754 Rev. 0	Healthcare Professional Fingerprint Images Fingerprint images provided to the agency by healthcare professional credential applicants. These images are used by the Washington State Patrol and FBI to perform background checks on applicants. Washington State Law (RCW 18.130.064) requires the agency conduct background checks as part of the credentialing process.	Retain until confirmation of receipt by the Washington State Patrol <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.4 HEALTHCARE PROFESSIONS

*The activity relating to the credentialing of healthcare professionals and healthcare professional education programs.
See the Public Health and Healthcare Provider section for the activity of working with Healthcare Professionals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-01-60411 Rev. 4	Healthcare Professional Name Change Documents Legal documents authorizing credential holders name changes. Must be kept as long as the original application for licensure.	Retain for 40 years after received <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-02-60440 Rev. 1	Pharmacy Preceptor Credential Applications Records relating to the credentialing of preceptors. A preceptor is pharmacist who provides practical training and experience to interns. May include application, exam and certificate of continuing education.	Retain for 6 years after completed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
94-02-53609 Rev. 3	Pharmacy Technician Training Programs Records documenting the board approval process of programs that pharmacy technicians attend to obtain certification. May include a letter of approval.	Retain for 6 years after approval <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
96-02-56414 Rev. 4	Washington Health Professional Service Compliance Monitoring Files A participant is a Health Care Professional with a substance abuse problem. Information retained documents compliance of participants to the programs monitored by law. Includes contract, lab reports, prescription forms, meeting attendance verification cards, work site monitoring monthly reports, yearly tracking system compliance screen, other participant information and graduation letter and/or referred back letter.	Retain for 30 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.5 FOOD AND PRODUCT CERTIFYING

The activity relating to the certifying of food and products for public use.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96-06-56880 Rev. 3	<p>Food Safety Export Certifications</p> <p>Certifies that export food products are free from hazardous health contaminant such as radionuclides or biotoxins.</p> <p>Include, but are not limited to:</p> <ul style="list-style-type: none"> • Radionuclide Free Export Certifications • Commercial Shellfish Export Certifications 	<p>Retain for 6 years after date of document</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68405 Rev. 2	<p>Product Review Certifications – Approved</p> <p>Records documenting the approval of products reviewed by the agency. May includes product descriptions, specifications and designs, testing results, photographs, correspondence, and approval documents.</p> <p>Products include, but are not limited to:</p> <ul style="list-style-type: none"> • Recreational Water Devices; • Wastewater Distribution or Treatment Products and Sewage Tanks; • Wastewater Treatment Alternative Technology. <p>Excludes the certifying of food as radionuclide free covered under <i>Food Safety Export Certifications (DAN 96-06-56880)</i>.</p>	<p>Retain for life of product</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

8.6 RADIATION FACILITY AND PROFESSIONAL LICENSING

The activity relating to the licensing, monitoring, and regulating of licensed radiation facilities and professionals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98-09-58679 Rev. 5	<p>Correspondence – Radiation Protection Program</p> <p>Internal and external communications to or from employees (including contractors and volunteers), that are made or received by a radiation protection program that is not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Internal and external correspondence/communications (regardless of format) relating to the request/agency-initiated advice, assistance or information. Announcements of changes to rules and regulations. <p>Excludes correspondence covered by:</p> <ul style="list-style-type: none"> <i>Public Disclosure/Records Requests (DAN GS 05001);</i> <i>State Publications (DAN GS 15008);</i> <i>Requests for Basic/Routine Agency Information (DAN GS 50002);</i> <i>Radiation Facility Licensing, Registration, and Regulating Files (DAN 12-12-68407);</i> <i>Radioactive Air Emission Facility Licensing, Registration, and Regulating Files (DAN 13-12-68477);</i> <i>Radioactive Waste Related Facility Licensing and Regulating Files (DAN 12-12-68408).</i> <p><i>Note: Records must be kept six years per Nuclear Regulatory Commission requirements.</i></p>	<p>Retain for 6 years after communication is sent or received</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
98-09-58683 Rev. 3	<p>Equipment Calibration and Testing – Radiation Detection and Measurement</p> <p>Records relating to the calibration and/or testing of radiation detection and measurement equipment used for monitoring licensee compliance.</p>	<p>Retain for 7 years after calibration and/or testing</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

8.6 RADIATION FACILITY AND PROFESSIONAL LICENSING

The activity relating to the licensing, monitoring, and regulating of licensed radiation facilities and professionals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98-09-58687 Rev. 2	<i>In Vitro Testing Certifications</i> Records related to the issuing of certifications to clinical laboratories using less than 10 micro curies/kit of radioactive material.	Retain for 2 years after expiration of certificate <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68407 Rev. 1	<i>Radiation Facility Licensing, Registration, and Regulating Files</i> Documentation relating to the licensing, registering, and regulation of a facilities processing or using radioactive materials. May includes applications, licenses, registrations, amendment requests, amendments, billings, correspondence, inspection reports, compliance records, licensee responses, and acknowledgments. Includes, but is not limited to: <ul style="list-style-type: none"> Facilities using or possessing radioactive materials; Facilities using x-ray equipment. 	Retain for 20 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
98-09-58685 Rev. 4	<i>Radiation Safety Officer Files</i> Records relating to authority, duties, and responsibilities of office radiation safety officer or his/her delegates, as required by the office's Radioactive Materials License. Duties may include maintaining staff training records, conducting leak tests, inventorying equipment, surveying the office, maintaining records of radioactive waste disposal records and office audits, and issuing and reviewing personnel radiation dosimeters.	Retain for 30 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.6 RADIATION FACILITY AND PROFESSIONAL LICENSING

The activity relating to the licensing, monitoring, and regulating of licensed radiation facilities and professionals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13-12-68477 Rev. 0	Radioactive Air Emission Facility Licensing, Registration, and Regulating Files Documentation relating to registering and regulating of facilities potentially emitting radioactive materials. May include applications, licenses, registrations, amendment requests, amendments, billings, correspondence, inspection reports, compliance records, licensee responses, and acknowledgments.	Retain for 75 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68408 Rev. 1	Radioactive Waste Related Facility Licensing and Regulating Files Documentation relating to the regulation of a facility which produces, handles, or disposes of radioactive waste. Includes applications, licenses, amendment requests, amendments, site use permits, general/technical correspondence, inspection reports, compliance reports, waste management files, and closure plans. Includes, but is not limited to: <ul style="list-style-type: none"> • Low Level Radioactive Waste Disposal Facilities; • Radioactive Waste Processing Facilities; • Uranium Milles. 	Retain for 75 years after close of facility <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR

8.7 SHELLFISH OPERATIONS

The activity relating to the licensing and regulating of companies that commercially harvest and sell shellfish or of working with marinas or wastewater facilities that may affect shellfish.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-07-60554 Rev. 1	Commercial Shellfish Harvest Site Certificate Applications – Approved Applications received from licensed commercial shellfish operations to harvest a given site. May include harvest site applications, correspondence, maps of harvest locations, legal descriptions, and lease agreements.	Retain for 6 years after inactive <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-02-57470 Rev. 2	Commercial Shellfish Licensing Applications – Approved Records relating to the licensing of shellfish growers and harvesters. May include proof of payment, shellfish operating certificate, application, inspection forms, actual layout of the shellfish operation, and correspondence.	Retain for 6 years after renewal or inactivity <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
13-12-68474 Rev. 0	Commercial Shellfish Licensing Applications – Summary Summary records relating to the licensing of shellfish growers and harvesters. Including, but not limited to: <ul style="list-style-type: none"> Envision Inspection Database. 	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
09-03-61698 Rev. 1	Commercial Shellfish New Construction and Equipment Review Files Records related to the review of proposed changes to licensed commercial shellfish facilities or equipment, ensuring they are designed to minimize possible contamination of harvested shellfish. These reviews are required per WAC 246-282-070. May include blueprints, designs, equipment installation documents, photographs, correspondence, and agency's review disposition.	Retain until superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.7 SHELLFISH OPERATIONS

The activity relating to the licensing and regulating of companies that commercially harvest and sell shellfish or of working with marinas or wastewater facilities that may affect shellfish.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-02-57476 Rev. 2	Commercial Shellfish Plans of Operation Records from licensed commercial shellfish companies detailing how they plan to harvest shellfish.	Retain until superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-02-57497 Rev. 3	Tribal Shellfish Harvesting Regulations Shellfish regulations issued by tribes with the same standing as a Washington Administrative Code. The agency investigates violations of, and enforces these regulations on behalf of the tribes.	Retain for 1 year after expiration <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

8.8 WASTEWATER FACILITIES

The activity relating to licensing and monitoring of licensed wastewater facilities.

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

8.9 WATER RECREATION FACILITIES

The activity relating to the permitting and monitoring of permitted water recreation facilities.

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

8.10 COMPLAINT AND DISCIPLINARY PROCESS

The activity relating to the receiving and investigating of complaints about credentialed facilities and individuals including any disciplinary or enforcement action taken by agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-05-62197 Rev. 2	Adjudicative Audio Recordings Audio recordings of prehearings, status conferences, and hearings of Health Law adjudicative cases before the Health Law Judges, Review Officer, and Health Profession Boards and Commissions. Cases include, but are not limited to, brief adjudicative proceedings; certificate of need, drinking water, shellfish and Women Infant and Children (WIC) appeals; as well as, health profession discipline and transient accommodations cases. <i>Note: If a decision is appealed, a transcript of the recordings is made and filed with the original adjudicative clerk file. 3 years is well beyond the point of appeal.</i>	Retain for 3 years after date of recording <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50611 Rev. 3	Adjudicative Clerk Files These files include all original pleadings and orders filed in a Health Law adjudicative case before the agency's Health Law Judges, Review Officer, or the Health Profession Boards and Commissions. Orders can include prehearing, final (Finding of Fact, Conclusion of Law and Final Order), post-hearing, and compliance orders.	Retain for 75 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
92-06-50603 Rev. 4	Healthcare Complaints/Investigation Files Provides a record of original documents pertaining to investigations of complaints of unprofessional conduct or unregulated practice received.	Retain for 15 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

8.10 COMPLAINT AND DISCIPLINARY PROCESS

The activity relating to the receiving and investigating of complaints about credentialed facilities and individuals including any disciplinary or enforcement action taken by agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-12-61662 Rev. 2	<i>Compliance/Post-Order Files</i> Provides a record of documentation related to requirements outlined in Orders, Disposition and Agreements until the credential conditions have been reinstated, terminated from conditions/probations, released, superseded or closed by the disciplining authority.	Retain for 25 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
95-06-55047 Rev. 2	<i>Enforcement Case Files</i> Records relating to enforcement actions against entities regulated by the agency, where not covered by a more specific record series . May include final orders, penalties and other documents. Includes, but is not limited to: <ul style="list-style-type: none"> • Drinking Water Enforcement Case Files • Commercial Shellfish Enforcement Case Files 	Retain for 6 years after case closed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

9. DATA AND STATISTICAL REPORTS

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

9.1 DEATH WITH DIGNITY ACT

The activity of gathering, compiling, and reporting statistics related to the Death with Dignity Act.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-07-62296 Rev. 2	<p><i>Death with Dignity Act (DWDA) Records</i></p> <p>Records used for collecting and reporting on DWDA information received from healthcare providers. The department reviews this information for compliance with reporting requirements, contacts the healthcare provider if the information is incomplete or inadequate, and produces an annual statistical report.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Death with Dignity Act Compliance Forms; • Death with Dignity Act Statistics. <p><i>Note: Per RCW 70.245.150 this information is only to be released as summarized data in an annual statistical report.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

9.2 HEALTH-RELATED STATISTICS

The activity of gathering and compiling of health-related statistical information.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68391 Rev. 1	<p><i>Diseases and Chronic Condition Statistics</i></p> <p>Data collected to measure diseases or chronic conditions. This information is used for education, research, developing priorities, and planning actions to improve the health of the people in Washington.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Washington Adult Health Survey; • Washington State Cancer Registry. 	<p>Retain for 6 years after no longer needed for agency business</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
12-12-68395 Rev. 2	<p><i>Environmental Health Statistics</i></p> <p>Data collected to document, report, and study health effects to environmental exposures such as pesticides, zoonotic diseases, radiation and drinking water. The data may be used to monitor specific locations that may pose a threat to public health, such as shellfish harvesting beaches and sites with chemical contaminants. This information is used to identify possible health hazards and make recommendations to protect public health. It is also used for research, education, and community outreach.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Environmental Integration and Exposure Impact Observation System (EIEIO). • Shellfish Geographical Information Systems (GIS) • Water Data Tracking System 	<p>Retain for 6 years after no longer needed for agency business</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

9.2 HEALTH-RELATED STATISTICS

The activity of gathering and compiling of health-related statistical information.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68396 Rev. 1	<p>Health Behaviors Statistics</p> <p>Data collected to measure the behaviors or activities directly affecting a person's health. This information is used to educate, develop priorities, and plan actions to improve the health behaviors.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Behavioral Risk Factor Surveillance System Database. 	<p>Retain for 6 years after no longer needed for agency business</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
12-12-68398 Rev. 2	<p>Healthcare Statistics</p> <p>Data collected on the emergency medical system, trauma system, pharmacies/dispensers, hospital discharges, hospital financial reports, charity care and adverse events that occur in hospitals. This information describes important elements of healthcare in Washington including data used to evaluate hospital/prehospital care and prescription drug utilization.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Adverse Events Data; Comprehensive Hospital Abstract Reporting System (CHARS); Hospital Financial Data; Prehospital Registry (WEMSIS); Prescription Review Data; Trauma Registry. 	<p>Retain for 6 years after no longer needed for agency business</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

9.2 HEALTH-RELATED STATISTICS

The activity of gathering and compiling of health-related statistical information.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68415 Rev. 1	<i>Vital Records Statistics</i> Statistics compiled from birth, death, fetal death, infant death, abortions, marriage, divorce, and dissolution records for research and statutorily required purposes.	Retain for 6 years after no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR

9.3 TOBACCO RETAILER COMPLIANCE STATISTICS

The activity of gathering, compiling, and reporting statistics of tobacco retailer compliance with state and federal youth tobacco sales laws.

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

10. EMERGENCY PREPAREDNESS AND RESPONSE

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-07-60566 Rev. 1	<i>Emergency Response Records</i> Records related to agency involvement in state emergency response efforts.	Retain for 7 years after completion of action report <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
05-01-60870 Rev. 3	<i>Medical Countermeasures Tracking System Records</i> Records and reports tracking product names, quantities, arrival and expiration dates, ship-to locations and related dates and times, of emergency medicines and medical supplies.	Retain for 3 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
05-04-60871 Rev. 2	<i>Radioactive Incident Files</i> Documentation of responses to radioactive incidents.	Retain for 30 years after case closed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR

11. PUBLIC HEALTH AND HEALTHCARE PROVIDERS

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

11.1 EMERGENCY MEDICAL SERVICES (EMS) SYSTEMS

The activity of establishing and promoting a system of emergency medical and trauma care services that provides timely and effective delivery of emergency medical treatment for people with acute illness and traumatic injury.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96-04-56632 Rev. 4	<i>Trauma Service Designation and Emergency Cardiac/Stroke Categorization</i> Records designating hospitals and other health care facilities to provide trauma care and cardiac/stroke services. Includes various forms, various proposal and application documents, surveys, score sheets, reports, letters of award of designation status and letters of denial of designation.	Retain for 15 years after decision <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

11.2 HEALTHCARE FACILITIES

The activity of working with healthcare facilities to improve quality of care.

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

11.3 PHARMACIES

The activity of working with pharmacies.

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

11.4 PUBLIC HEALTH LABORATORIES

The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68390 Rev. 1	<i>Dietary and Adult Hemoglobin Specimen Cards</i> Cards which contains lab numbers and donor identifiers. Used for PKU Dietary Monitoring and Adult Hemoglobin disease screening. <i>Note: Cards also include actual blood specimens absorbed on them.</i>	Retain for 1 month after screening <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-04-57564 Rev. 2	<i>Newborn Patient Files – Diagnosed Disease Cases</i> Contains files of patients confirmed with a clinical disorder. Includes patient demographic and clinical information, documentation of communications and dietary shipment and financial records.	Retain for 75 years after screening <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68427 Rev. 0	<i>Newborn Patient Files – Not Screened (a.k.a. Pinkies)</i> Tracks responses to follow-up letters for newborn screening of infants not tested.	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
05-11-61056 Rev. 1	<i>Newborn Patient Files – Positive Screening Tests</i> Contains files of patients with non-normal screening results. Includes patient's demographic and clinical information and documentation of communications.	Retain for 21 years after screening <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

11.4 PUBLIC HEALTH LABORATORIES

The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-02-53627 Rev. 2	Newborn Screening Birth Provider Compliance Files Documents hospital and out-of-hospital birth provider compliance with newborn screening WAC 246-650. May include weekly live birth listings and corresponding test results, copies of follow-up letters generally sent to the child's doctor, statistics tracking compliance, and annual compliance reports.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-04-57579 Rev. 5	Newborn Screening Cards Card which contains lab number and child identifiers. Includes refusal cards. Used for disease screening. <i>Note: Cards also include actual blood specimens absorbed on them.</i>	Retain for 21 years after screening <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68428 Rev. 0	Newborn Screening Test Records Data Repository Data collected from the newborn screening process including, but not limited to, patient demographics and test records.	Retain for 21 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

11.4 PUBLIC HEALTH LABORATORIES

The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68406 Rev. 1	<p>Quality Control and Assurance – Environmental Radiation</p> <p>Records relating to quality control programs for environmental radiation testing 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>Retain for 50 years after conclusion of quality control testing</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
97-04-57566 Rev. 2	<p>Quality Control and Assurance – General</p> <p>Records relating to quality control programs for 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 environmental radiation testing.</p>	<p>Retain for 6 years after conclusion of quality control testing</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

11.4 PUBLIC HEALTH LABORATORIES

The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68410 Rev. 1	Test Procedure Training and Staff Demonstrations of Proficiency Records of an employee's test procedure training history, including their demonstrations of proficiency in using test procedures. <i>Note: Retention based on agency need to potentially produce these records in court to validate the accuracy of laboratory test results.</i>	Retain until all test reports created by employee have been dispositioned <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
12-12-68411 Rev. 1	Test Procedures, Method Citations, and Procedure Validation Records – General Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105 and where not covered by a more specific series. Includes records and data used to validate the procedures. <i>Note: Retention based on agency need to potentially produce these records in court to validate the accuracy of laboratory test results.</i>	Retain until all test reports created by procedure have been dispositioned <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
12-12-68412 Rev. 1	Test Procedures, Method Citations, and Procedure Validation Records – Newborn Screening Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105. Includes records and data used to validate the procedures.	Retain for 21 years after procedure has been discontinued <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
97-04-57607 Rev. 5	Test Reports – Environmental Radiation Reports and results for environmental radiation specimens tested or examined.	Retain for 50 years after examination <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

11.4 PUBLIC HEALTH LABORATORIES

The activity of providing a wide range of diagnostic and analytical services for the assessment and surveillance of infectious, communicable, genetic, chronic diseases and environmental health concerns.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61089 Rev. 3	<p>Test Reports – General</p> <p>Reports and results for specimens tested or examined and where not covered by a more specific series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Biotoxin Test Reports; • Drinking Water Bacteriology; • Environmental Chemistry; • Food and Shellfish Bacteriology; • Parasitology; • Water Bacteriology. 	<p>Retain for 10 years after examination <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

11.5 PUBLIC HEALTH SYSTEM RESOURCES AND SERVICES

The activity of working with our state's 35 local health agencies, Tribal health partners, our healthcare system and others to improve the health of Washingtonians.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99-11-59411 Rev. 1	<i>Community Health Systems Statewide Planning and Implementation Records</i> Documents the development and implementation of state plans. Includes EMS and Trauma System, Emergency Cardiac/Stroke System, Rural Health, and Injury and Violence Prevention.	Retain for 6 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

11.6 RURAL HEALTH

The activity of assisting rural and underserved communities have access to health services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68397 Rev. 1	Health Professions Data Repository Data collected from health profession surveys for use in designating areas with Health Profession Shortages. This information is also used for healthcare research.	Retain for 40 years after entered <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68430 Rev. 1	Rural Health and Healthcare Professional Shortage Area Recruitment Records Records and data used to match healthcare professionals with rural and underserved communities. Includes files for health professionals in the rural health program. These files may contain applications, employment contracts, attorney forms, J-1 visa waivers and correspondence. Includes, but is not limited to: <ul style="list-style-type: none"> Recruitment and Retention Intake Data Repository; J-1 Visa Tracking Data Repository; J-1 Visa Waiver Healthcare Professional Files. 	Retain for 6 years after participant inactive <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68417 Rev. 1	Volunteer Retired Healthcare Professional Files Documents license renewal payments for volunteer medical professionals. May include applications and renewal cards. Records used for budgetary and tracking purposes.	Retain for 1 year after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

12. VITAL RECORDS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-08-35851 Rev. 2	<i>Vital Record Indexes</i> Indexes to vital records.	Retain for 50 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
12-12-68414 Rev. 1	<i>Vital Records</i> The primary copy of records documenting vital events in Washington. Includes, but is not limited to: <ul style="list-style-type: none"> • Birth Records; • Delayed Birth Records; • Death Records; • Dissolution of Domestic Partnership Records; • Divorce Records; • Fetal Death Records; • Induced Termination of Pregnancy; • Marriage Records. <i>Note: Records are to be maintained permanently per RCW 70.58.005 (6), RCW 26.09.150 and .160, RCW 26.09.150 (2) (a), and RCW 70.58.900.</i>	Retain permanently.	ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68416 Rev. 1	<p><i>Vital Records Supporting Documentation</i></p> <p>Documents amending or supporting birth, death, marriage, divorce, and dissolution records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Adoption, Paternity, and Other Court Ordered Sealed Records; • Affidavits of Correction; • Delayed Birth Certificate Supporting Affidavits. <p><i>Note: Records are to be maintained permanently per RCW 70.58.005 (6), RCW 26.09.150 and .160, RCW 26.09.150 (2) (a), and RCW 70.58.900.</i></p>	Retain permanently.	<p>ARCHIVAL (Permanent Retention) NON-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 (Appraisal Required)

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

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

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.

Disposition

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

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

Disposition Authority Number (DAN)

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

Essential Records

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

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

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

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

Non-Essential Records

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

OFM (Office Files and Memoranda)

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

RCW 40.14.010 – Definition and classification of public records.

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

OPR (Official Public Records)

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

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any

agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."

Public Records

RCW 40.14.010 – Definition and classification of public records.

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

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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