This schedule applies to: Department of Social and Health Services

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Social and Health Services relating to providing social services and resources to improve the health of individuals, families, and communities in the State of Washington. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

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

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

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Department of Social and Health Services are revoked. The Department of Social and Health Services 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 February 2, 2022.

Signature on File	*Signature on File*	*Signature on File*	*Signature on File*
For the State Auditor: **Al Rose**	**For the Attorney General:** **Suzanne Becker**	**For the Office of Financial Management:** **Gwen Stamey**	**Acting State Archivist:** **Terry Badger**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	June 6, 2012	Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the Department of Social and Health Services.
1.1	September 5, 2012	Minor changes to Background Check Central Unit, Behavioral Health and Recovery, Children's Administration, DSHS Institutions, and Operations Review and Consultation sections.
1.2	September 18, 2013	Minor changes to administration and office names, movement of sections within chapters.
1.3	December 4, 2013	Add confidentiality statement to description; discontinue three record series.
1.4	June 4, 2014	Minor typographical changes; substantial changes to two Children's Administration series.
1.5	March 12, 2015	Title and description changes; changes to cut-off on BCCU series.
1.6	September 2, 2015	Minor changes to the Residential Care Services, Juvenile Rehabilitation and Legacy sections.
1.7	June 29, 2016	Significant revision to SCC advocacy records; minor changes to the Behavioral Health Administration and the Rehabilitation Administration.
1.8	September 7, 2016	Minor revisions the Background Check Central Unit section and discontinued records series now covered by the updated *State Government General Records Retention Schedule*.
1.9	March 1, 2017	Minor revisions to the Residential Care Services section.
1.10	December 6, 2017	Minor office name change; two series revised and two series discontinued.
1.11	June 6, 2018 (effective July 1, 2018)	Removal of Children's Administration and Social Services Payment System sections and minor revisions to the All Offices, Background Check Central Unit and Behavioral Health Administration sections.
1.12	August 1, 2018	Minor revisions to the Home and Community Services section.
1.13	October 3, 2018	Minor revisions to the Residential Care Services section.
1.14	February 6, 2019	Minor revisions to the Aging and Disability Services – Behavioral Health Administration; DSHS Institutions; and Legacy Records sections.

Version	Date of Approval	Extent of Revision
1.15	April 3, 2019	Minor revisions to the Agency-Wide – Background Check Central Unit; Economic Services Administration – General; and Legacy Records sections.
2.0	June 5, 2019 (effective July 1, 2019)	Removal of Juvenile Rehabilitation and Governor's Juvenile Justice Advisory Committee sections and minor revisions to the Developmental Disabilities Administration and DSHS Institutions sections.
2.1	June 3, 2020	Two new series added to Home and Community Services and minor revision to Residential Care Services series.
2.2	June 2, 2021	Three series discontinued and one new series added; retention changes in Language Testing and Certification and Western State Hospital sections; minor revisions to the Agency-Wide – Background Check Central Unit, Adult Protective Services, Office of Financial Recovery, Economic Services Administration, Language Testing and Certification and Western State Hospital sections.
2.3	October 6, 2021	Added new series to Agency-Wide – All Offices section.
2.4	February 2, 2022	Added new series to DSHS Institutions – Western State Hospital section.

For assistance and advice in applying this records retention schedule,

please contact the Department of Social and Health Services' Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. AGENCY-WIDE

This section covers records for agency-wide use relating to services provided by the Department of Social and Health Services.

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-05-31847 Rev. 5	***Base Updates*** Provides documentation used to determine staff time spent on federal and state programs. Basis of claiming reimbursement from federal government for costs under the cost allocation plan. This includes such things as: • Random Moment Time samples documents that Identifies activities claimable to federal funding sources. Result of the random moment time sampling of social service workers; • Documentation of the receipt of federal funds. Includes grant applications, budget, contracts, correspondence, audits and final project reports; • Group care annual time study. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
21-10-69644 Rev. 0	***Non-HIPAA Client Meeting Recordings*** Records documenting videoconference meetings between DSHS staff and non-HIPAA clients. Includes, but is not limited to: • Recordings of meetings taking place using videoconferencing software in order to accommodate clients under the Americans with Disabilities Act (ADA). Excludes HIPAA client recordings covered by *HIPAA Privacy Documentation (DAN 03-11-60608).* *Note: Series may contain confidential information.* *Note: Retention based on two-week period that clients have to request copies of recordings.*	**Retain** for 2 weeks after information transcribed / transferred into client files and verified *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-11-60608 Rev. 2	***HIPAA Privacy Documentation*** Any communications, actions, activities, assessments, or designations required by the Health Insurance Portability and Accountability Act (HIPAA) Administrative Regulations (45 CFR 160 – 164) to be in writing or documented including: • Exercise of client rights relating to protected health information , including requests for amendment, accounting of disclosures, restrictions on use and disclosure, confidential communications; • Forms adopted for compliance with rule, including Notice of Privacy Practices and Acknowledgments; • Completed forms, including consents and authorizations; • Procedures and policies; • Designated record sets; • Privacy complaints and dispositions, including transactions referred by HHS Office for Civil Rights; • Training materials and documentation; • Breaches of unsecured protected health information, including notifications. *Note: Access to client records is covered by the State General Schedule 5.4 Public Disclosure.* *Note: Series contains confidential information.*	**Retain** for 6 years after date of creation, final response, or date last in effect, whichever is later *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
92-12-51531 Rev. 1	***Post-Mortem Review Committee Files*** Established by DSHS Administrative Policy 9.03 to review deaths of residential clients. Includes reports to the Secretary and recommendations for corrective action. *Note: Used by all DSHS institutions.* *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.1 ALL OFFICES

This section covers records common across the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-06-61215 Rev. 1	***Victim/Witness Notification Files*** These records include victim and witness notification letters, notifications from DSHS facilities and correspondence from victims and witnesses. *Note: These files may also contain offender case information such as commitment, diagnostic, treatment records, and school information. The victim/witness file may follow the offender throughout their commitment to DSHS facilities.* *Note: Series contains confidential information.*	**Retain** for 75 years after last discharge of offender *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
97-10-58167 Rev. 0	***Voter Registration*** Provides a record of the offer of voter registration assistance to clients and other visitors to the office.	**Retain** for 2 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62157 Rev. 4	***Background Check Authorization Forms and Results for Employed Individuals (Originating DSHS Office)*** Signed and completed Background Check Authorization Forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or the Background Check Central Unit (BCCU) and the background check results. These records for those hired must be stored together in a secure location separate from personnel files and other less confidential documents. Documents may include the person's: • Name and alias names; • Date of birth; • Driver's license number; • Social Security number; • Confidential criminal background information – may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people. *Note: Used by DSHS Hiring Entity requesting background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after termination date *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62156 Rev. 3	***Background Check Authorization Forms and Results for Individuals Not Employed (Originating DSHS Office)*** Signed and completed Background Check Authorization forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Central Unit, and the BCCU results for individuals who had a background check completed but were NOT hired, must be stored together in a secure location. Documents may include the person's: • Name and alias names; • Date of birth; • Driver's license number; • Social Security number; • Confidential criminal background information - may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people. *Note: Used by DSHS Hiring Entity requesting background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after decision date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62158 Rev. 4	***Background Check Authorization Forms and Results for Initial and Renewal of License, Contract, Certification, and Authorization of Unsupervised Access for Service Providers (Originating DSHS Office)*** Signed and completed Background Check Authorization Forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Central Unit (BCCU) and the BCCU results for applicants and potential and current service providers who completed an FBI background check for any purpose must be stored together in a secure location. Documents may include the person's: • Name; • Date of birth; • Alias names; • Driver's license number; • Social Security number; • Confidential non-public FBI background information. *Note: Used by DSHS Hiring Entity requesting background check.* *Note: Series contains confidential information.*	**Retain** for 6 years after termination of license, contract, certification, or authorization *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62163 Rev. 5	***BCCU Background Check Person of Interest (POI) Files – No Records of Negative Action*** Records documenting background checks conducted by BCCU on individual persons of interest (POI), where the background check results contain no records of negative action as defined in applicable program rules and requirements. Person of interest (POI) files include records received by BCCU in the process of conducting a background check on any individual for whom DSHS receives a background check request. May include, but is not limited to: • Entity records of the submitted background check stored in the Background Check System (BCS); • Authorizations submitted through BCS; • Federal Bureau of Investigation (FBI) Record of Arrest and Prosecution (RAP) sheets (non-public information); • Washington State Patrol (WSP) RAP sheets; • Supplemental information or disclosures provided by the applicant; • Other supporting information necessary to process a background check. Other supporting information may include: DSHS finding notification; information from the Department of Corrections, Department of Health, and/or Office of Administrator of the Courts; out-of-state and federal court records; data captured by BCS relating to the POI file; BCCU result letters, correspondence and records requests; and AAG equivalency analysis. Documents contain personal identifying information such as applicant's name, date of birth, aliases, driver's license number, and Social Security number. Confidential document destruction is required by the FBI. *Note: Used specifically by Office 106 Background Check Central Unit (BCCU).* *Note: Series contains confidential information.*	**Retain** for 10 years after completion of last background check *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69248 Rev. 1	***BCCU Background Check Person of Interest (POI) Files – With Records of Negative Action*** Records documenting background checks conducted by BCCU on individual persons of interest (POI), where the background check results contain records of negative action as defined in applicable program rules and requirements. Person of interest (POI) files include records received by BCCU in the process of conducting a background check on any individual for whom DSHS receives a background check request. May include, but is not limited to: • Entity records of the submitted background check stored in the Background Check System (BCS); • Authorizations submitted through BCS; • Federal Bureau of Investigation (FBI) Record of Arrest and Prosecution (RAP) sheets (non-public information); • Supplemental information or disclosures provided by the applicant; • Other supporting information necessary to process a background check. Other supporting information may include: DSHS finding notification; information from the Department of Corrections, Department of Health, and/or Office of Administrator of the Courts; out-of-state and federal court records; data captured by BCS relating to the POI file; BCCU result letters, correspondence and records requests; and AAG equivalency analysis. Documents contain personal identifying information including applicant's name, date of birth, aliases, driver's license number, and Social Security number. Confidential document destruction is required by the FBI. *Note: Used specifically by Office 106 Background Check Central Unit (BCCU).* *Note: Series contains confidential information.*	**Retain** for 20 years after completion of last background check *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62160 Rev. 4	***Closed Case National Crime Information Center (NCIC III) Background Checks (for Individuals Contracted, Hired, Licensed, Certified, or Authorized) (Originating DSHS Office)*** "Closed Case" means a case that is complete after hire, contract, license, certification or authorization of an individual and NCIC III information was accessed and reviewed. Includes, but is not limited to: • Non-public criminal history; • Arrests and charges; • Convictions from other states and WA State. *Note: This series applies only to the data compiled from National Crime Information Center (NCIC III) database for background checks for any purpose. This record series applies ONLY for individuals who are contracted, hired, licensed, certified, or authorized, and the NCIC III data used is removed in accordance to the protocols of the Washington State Patrol. Completed applications and other background check data from the FBI are covered under DAN 10-04-62157, DAN 10-04-62156, or DAN 10-04-62158, DAN 10-04-62163 and/or DAN 10-04-62159 as appropriate.* *Note: Series contains confidential information.*	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62159 Rev. 3	***Federal Bureau of Investigation (FBI) Result Received for any Purpose (Originating DSHS Office)*** Federal Bureau of Investigation (FBI) Records of Arrest and Prosecution (RAP) sheets and supplemental information about FBI data provided by the applicant, FBI, or BCCU, and BCCU results containing FBI information must not be shared or disseminated for any reason outside of DSHS. Includes, but is not limited to: • Non-public criminal history, fingerprint cards; • Arrests and charges; • Convictions from other states and WA State. *Note: Used by office originating background check. FBI records must be stored in a secure location and may NOT be stored off site, in a desk file, or in a personnel file. Confidential document destruction is required by the FBI. Shredding of FBI information is done on site or with DSHS staff officially witnessing shredding off site.* *Note: Series contains confidential information.*	**Retain** for 6 years after receipt of FBI information *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62161 Rev. 3	***Open Case National Crime Information Center (NCIC III) Background Checks (for Individuals Not Contracted, Hired, Licensed, Certified, or Authorized) (Originating DSHS Office)*** "Open Case" means a case that remains open to dispute for one year after denial of hire, contract, license, certification or authorization and NCIC III information was accessed and reviewed. Includes, but is not limited to: • Non-public criminal history; • Arrests and charges; • Convictions from other states and WA State. *Note: This series is applicable to all agency headquarters and field staff licensing, contracting, certifying and authorizing service providers and those hiring/appointing authorities conducting NCIC III checks for individuals NOT contracted, hired, licensed, certified, or authorized by the agency.* *Note: Confidential document destruction is required by the FBI. Shredding of NCIC III information is carried out on site or with DSHS staff officially witness shredding off site.* *Note: Series contains confidential information.*	**Retain** for 1 year after receipt of National Crime Information Center (NCIC III) information *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit (BCCU).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-09-68993 Rev. 3	***Unsubmitted Background Check Requests*** Background check requests created and saved by a requesting entity in the Background Check System (BCS) but never submitted to BCCU for processing. Contains personally identifying information, such as: • Name and aliases; • Date of birth; • Driver's license number; • Social Security number; • Confidential background information disclosed by the applicant. May also include background check request notes created and saved in BCS by the requesting entity. *Note: Used by DSHS Hiring Entity requesting background check.* *Note: Series contains confidential information.*	**Retain** for 5 years after date of last activity *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.3 OFFICE OF FRAUD AND ACCOUNTABILITY – Office 126

This section covers records relating to Fraud Early Detection investigations, criminal investigations, vendor investigations, EBT fraud, public assistance fraud, and childcare investigations conducted by the Office of Fraud and Accountability.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
75-08-13752 Rev. 2	***Investigative Case Files*** Provides documentation of investigations of possible fraud, allegations of employee criminal activity, and illegal practices by vendors. *Note: Series contains confidential information.*	**Retain** for 6 years after last action taken *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
04-09-60779 Rev. 1	***WSP Identification Section Information Transmittal*** Transmits criminal history information from the Washington State Patrol. *Note: There are strict statutory restrictions on dissemination of this material. Per 15 U.S.C. 1681 et seq.* *Note: Series contains confidential information.*	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.4 HUMAN RESOURCES – Office 140

This section covers records relating to personnel information managed by DSHS Human Resources.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00-09-59884 Rev. 2	***Washington State Patrol (WSP) Investigations, Disciplinary Action Taken*** Records that document employee investigations for alleged criminal misconduct deemed a gross misdemeanor or felony or major administrative investigation conducted by the Washington State Patrol (WSP) or local law enforcement agencies where disciplinary action is taken. *Note: This is pursuant to the Governor's Executive Order 96-01 and the WSP/DSHS Interagency Agreement.* *Note: Series contains confidential information.*	**Retain** for 6 years after final report received *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
06-10-61321 Rev. 1	***Washington State Patrol (WSP) Investigations, No Disciplinary Action Taken*** Records that document employee investigations for alleged criminal misconduct deemed a gross misdemeanor or felony or major administrative investigation conducted by the Washington State Patrol (WSP) or local law enforcement agencies where disciplinary action is not taken. *Note: This is pursuant to the Governor's Executive Order 96-01 and the WSP/DSHS Interagency Agreement.* *Note: Series contains confidential information.*	**Retain** for 5 years after final report received *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.5 LANGUAGE TESTING AND CERTIFICATION – Office 201

This section covers records relating to Language Testing and Certification.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-06-60715 Rev. 2	***Language Testing Certification Records*** Records relating to the process of issuing language certifications for interpreters, translators, and bilingual staff. Includes, but is not limited to: • Candidate name and contact information; • Test dates and scores; • Certificate issue date / expiration date; • Renewal requirement documentation; • Tracking of certification submissions by date, approval number, type of credit. *Note: Information is maintained electronically in LTC Gateway and FileMaker Pro databases. Paper documentation may be included in this series as necessary.*	**Retain** for 6 years after test date for tests not leading to a credential/credential expiration date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
99-06-59126 Rev. 3	***Language Testing Records*** Records related to administering and grading tests for language certification. Includes, but is not limited to: • Digital recordings of oral tests; • Oral test grading sheets; • Written test scan sheets; • Written document translator test papers; • Bilingual employee test papers.	**Retain** for 4 years after test graded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.5 LANGUAGE TESTING AND CERTIFICATION – Office 201

This section covers records relating to Language Testing and Certification.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
21-06-69631 Rev. 0	***Revocation of Language Testing and Certification (LTC) Issued Credentials*** Records relating to the revocation of Language Testing and Certification (LTC) Credentials. Includes, but is not limited to: • Revocation requests; • Documentation related to Office of Administrative Hearings appeals involving LTC; • Related correspondence/communications.	**Retain** for 10 years after final decision *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

1.6 RULES AND POLICY ASSISTANCE UNIT – Office 351

This section covers records relating specifically to the Rules and Policy Assistance Unit.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-08-23063 Rev. 5	***Rule Making Files*** Documents agency rule making (WAC) as described in RCW 34.05.370 (Administrative Procedures Act). Includes, but is not limited to: • Text of proposed rule with documentation of agency internal review and comment; • Mailroom distribution record; • Public rule hearing sign-in sheets (showing names and addresses of persons attending or making testimony); • Summary of public rule hearing; written comments received relating to the proposed rule with DSHS response; • Original Rule Making Order showing adoption date and record of filing with the Code Reviser (assignment of WAC Register number). *Note: Files are arranged numerically by the WAC Administrative Order number also known as the Rule Making Docket number.*	**Retain** for 75 years after date filed with code reviser or date withdrawn *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** **(for Disaster Recovery)** OPR

1.7 OFFICE OF FINANCIAL RECOVERY – Office 240

This section covers records relating to Office 240 Office of Financial Recovery.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
71-06-01637 Rev. 1	***Securities and Other Negotiable Instruments*** Stocks, bonds, or other negotiable that provides security for payment of debts due DSHS. Negotiables are submitted by the party responsible for an account and held until the account is paid then they are returned to the responsible party.	**Retain** until debt claim resolved *then* **Return** to responsible party.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2. AGING AND DISABILITY SERVICES

This section covers records relating to aging and developmental disability services provided by the Department.

2.1 BEHAVIORAL HEALTH ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61063 Rev. 2	***Compliance Files*** Records documenting compliance with various state and federal laws. These files support federal audits as well as any litigation. Includes, but is not limited to: • Incidents and complaints, corrective action plans; • Prior and current law suits, service provider processes; • Audits and audit findings, and denied claims. *Note: Series contains confidential information.*	**Retain** for 7 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-11-62153 Rev. 0	***Continuing Education Units (CEU) Training Documentation*** Records documenting the behavioral training conducted by DSHS employees and/or private sector trainers provided to participants to gain Continuing Education Units (CEU) in order to acquire or maintain a professional license or certification to provide counseling. These records are retained to document that an attending CEU participant earned their license or certification. *Note: If training is conducted through a college, the college is required to maintain the completion or certification files.*	**Retain** for 10 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.1 BEHAVIORAL HEALTH ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-10-51388 Rev. 4	***Nursing Facility Resident Mental Health Assessments*** Records documenting resident mental health assessments. Review required by federal Omnibus Reconciliation Act of 1987 (OBRA PASSAR Assessment). Includes, but is not limited to: • Level II psychiatric evaluations; • Level II follow-up or significant change evaluation summary information; • Level II invalidation statements, including interrupted evaluation documentation; • Copies of supporting documentation from the medical record. *Note: This series is used also by Office 710 Division of Developmental Disabilities.* *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
07-04-61456 Rev. 3	***Offender Reentry Community Safety (ORCS) Program Files*** Records documenting case management and programs for services for Offender Reentry Community Safety (ORCS) Program clients. Includes, but is not limited to: • Agreements with local mental health centers and regional support networks; • Unfunded medical expenses and chemical dependency treatment; • Housing and employment services. *Note: RCW 71-24.470 governs this statewide program providing mental health case management services to individuals who have been identified as dangerous to themselves or others including individuals who are developmentally disabled and/or may not be able to care for themselves without protective or well-coordinated community care.* *Note: Series contains confidential information.*	**Retain** for 8 years after one year (12 months) of no services provided *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.1 BEHAVIORAL HEALTH ADMINISTRATION – Office 702

This section covers records relating to chemical dependency and mental health records of the Behavioral Health Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-02-69346 Rev. 0	***Office of Forensic Mental Health Services (OFMHS) Outpatient Jail-Based Evaluation Screening*** OFMHS records regarding outpatient jail-based screening information regarding medical, discovery, and evaluations. Includes evaluator notes, reports, and orders, medical information, courts orders, police reports, charging documents, criminal history, and developmental disability records.	**Retain** for 6 years after final entry *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-08-25417 Rev. 2	***Developmental Disabilities (DD) Alternate Living Files (AL)*** Records documenting instructional services for DD clients living in their own homes. DD contracts with independent contractors to offer these services. Clients may receive up to 40 AL hours per month. Includes but is not limited to: • Agreements, service plans; • Money management and essential shopping; • Accessing community resources. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
07-08-61584 Rev. 2	***Developmental Disabilities Client Case Files (Discharge or Death)*** Records documenting clients placed in case services that have been discharged from services or records documenting clients placed in case services that have died. Includes, but is not limited to: • Legal documents; • Intake records; • Transitory records. *Note: May also include abbreviated records for clients in Residential Habilitation Centers.* *Note: Series contains confidential information.*	**Retain** for 50 years after date of discharge from services or death of client *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
82-09-30300 Rev. 2	***Developmental Disabilities (DD) Client Case Files (Ineligible or Withdrawn)*** Provides documentation of client status for division services when client is ineligible or application is withdrawn. *Note: Series contains confidential information.*	**Retain** for 6 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
08-02-61732 Rev. 1	***Developmental Disabilities (DD) Community Protection Issues Incident Reports*** Provides documentation related to incidents resulting in a Developmental Disabilities client arrested for, charged with, or convicted of a crime of sexual violence as defined in chapter 9A.44 or 71.09 RCW, or violent or serious violent offenses as defined by RCW 9.94A.030; or which prompted a risk assessment by a qualified professional that concluded the individual constituted a risk to others. *Note: Series contains confidential information.*	**Retain** for 75 years after date of document *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
07-08-61585 Rev. 1	***Developmental Disabilities (DD) Companion Home Client Files*** Records of residential service clients living in a regular family residence approved by the Division of Developmental Disabilities (DDD). DDD reimburses the provider for support services to include instruction and supervision. The client pays the provider directly for room and board costs from his/her personal resources. Includes, but is not limited to: • Quarterly reports; • Comprehensive assessment evaluation; • Financial documents. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89-04-44245 Rev. 2	***Developmental Disabilities (DD) County Payments*** Provides records used to track client services delivered and outcomes in county DD programs. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
92-05-50377 Rev. 2	***Developmental Disabilities (DD) Service Provider Application (Incomplete)*** Applications from potential providers of services to DDD clients which are not completed and no Basic Ordering Agreement is issued. *Note: Series contains confidential information.*	**Retain** for 6 months after date of incomplete application *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
80-08-25423 Rev. 2	***Family Support/Respite Files*** Provides a record of Division of Developmental Disabilities (DDD) clients receiving family support. Includes, but is not limited to: • Plans, approvals, and questionnaires (Individual Services Plans); • Agreements, planning worksheets, community guide referrals and reports; • Service need assessments, determinations, and worksheets; • Serious needs requests and exception to policy and approvals. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03-06-60521 Rev. 1	***Medicaid Home and Community-Based Services Waiver (Title XIX)*** Provides records of Medicaid home and community-based services waiver proposals and amendments. Includes, but is not limited to: • Reports (aggregate data) of utilization and expenditures for waiver recipients; • Federal correspondence and reports concerning the Division's home and community-based services waivers; • Copies of information (some client-specific) provided in response to public disclosure requests concerning the waivers; • Copies of lawsuits (and related materials) concerning the division's home and community-based waiver program. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-06-60522 Rev. 1	***Medicaid Services/Claim Documentation (Title XIX)*** Includes documentation of client-specific service delivery which backs up the claim for Medicaid funding as well as discussion/issue papers and related material concerning Medicaid services for individuals with developmental disabilities. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-01-49725 Rev. 3	***Sex/Violent Offender Files*** The official client record that follows a sex/violent offender receiving DSHS services throughout their commitment to a DSHS facility. Includes commitment, diagnostic, health, and treatment records, and school files and transcripts, when applicable. *Note: Series contains confidential information.*	**Retain** for 75 years after release from services *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.2 DEVELOPMENTAL DISABILITIES ADMINISTRATION – Office 710

This section covers records relating to the Developmental Disabilities Administration (DDA).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-08-25422 Rev. 2	***Voluntary Placement Program (VPP) Files*** Maintains a record of out of home placement for children under 21-years of age placed by the Division of Developmental Disabilities. Includes, but is not limited to: • Plans of care and assessments; • Agreements, guardianship papers, and court forms. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

2.3 HOME AND COMMUNITY SERVICES – Office 915

This section covers records relating to Office 915 Home and Community Services of the Aging and Long-Term Support Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-06-69541 Rev. 0	***Fostering Well-Being (FWB) Client Files*** Records relating to service coordination and consultation records including applications, checklists or evaluation guides, home studies/reviews/monitoring, authorizing medical documentation, and other documents and correspondence shared with the Department of Children, Family, and Youth. *Note: Used to support similar Department of Children, Family, and Youth records.* *Note: Series contains confidential information.*	**Retain** for 6 years after final adoption/Legally Free child ages out of foster care/establishment of the Guardianship *then* **Destroy.**	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
20-06-69542 Rev. 0	***Fostering Well-Being (FWB) Gathering, Assessing, and Planning System (GAPS) File*** Records documenting original child-specific referrals, comprehensive health overviews, medical records, school records, confidential health consents, clinical chart notes, correspondence. *Note: Used to support similar Department of Children, Family, and Youth records.* *Note: Series contains confidential information.* *Note: Retention based on anticipated lifespan of the person and for consistency with the retention of the Department of Children, Youth, and Families' Adoptive Child, Legally Free Child, and Guardianship Child and Support Case Files.*	**Retain** for 100 years after final adoption/Legally Free child ages out of foster care/establishment of the Guardianship *then* **Destroy.**	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.3 HOME AND COMMUNITY SERVICES – Office 915

This section covers records relating to Office 915 Home and Community Services of the Aging and Long-Term Support Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-06-61525 Rev. 1	***Registered Nurse Delegators (RND) Case Files*** Registered Nurse Delegators (RND) documentation to support billing, consent, credentials and training. Includes, but is not limited to: • Instruction task sheets, nursing visits, assessments; • Medication profiles, "give as needed" instructions, treatment and medication changes, rescinding/assumption instructions and forms; • Case Managers referral and collateral contacts (i.e., Primary Care Physician, family, or Case Manager). *Note: Series contains confidential information.*	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61065 Rev. 1	***Case Mix Accuracy Review (CMAR)*** Records documenting the review of Minimum Data Set accuracy as it relates to Medicaid case mix payment. "Case mix" is the different types of service needs each person (or case) requires and services are determined by the level of need scored in each case. Includes, but is not limited to: • Preliminary CMAR review summary sheets; • Resident reports Activities of Daily Living index score sheets; • Resource Utilization Group (RUG) Worksheets; • Dear Provider letter (results); • CMAR Report; • RUG Category Summaries; • CMAR Data; • CMAR protocol records.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60665 Rev. 5	***Residential Care Services Complaint Files*** Provides records of complaints with citations related to residential care services to include Adult Family Homes (AFH), Assisted Living Facilities (ALF), Enhanced Service Facilities (ESF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF) and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigations. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
18-10-69311 Rev. 0	***Residential Care Services Complaint Investigation for Western State Hospital Licensing and Business Files (Closed)*** Contains licensing and business files for Western State Hospital. Includes, but is not limited to: • Change in entity representative, resident manager, district/unit, and contacts; • Change in administrator, contacts, and other information; • Change in services, supports provider information, geographic area of service administrator, and certification type change or ending; • Contracts, agreements, and background checks; • Construction review and approval, and room allocation/waivers/bed list. *Note: Series contains confidential information.*	**Retain** for 10 years after completed RCS involvement *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60683 Rev. 4	***Residential Care Services Enforcement and Informal Dispute Resolution (IDR) Files*** Provides records of residential care services to include Adult Family Homes (AFH), Assisted Living Facilities (ALF), Enhanced Service Facilities (ESF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF) and Residential Habilitation Center (RHC) enforcement files. Includes, but is not limited to: • Letters of enforcement; • IDR letters to providers; • Nurse Aid Training Program sanction letters.	**Retain** for 10 years after facility closure *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
18-10-69312 Rev. 0	***Residential Care Services Enforcement and Informal Dispute Resolution (IDR) Files for Western State Hospital*** Provides records of residential care complaint investigation services for Western State Hospital enforcement files. Includes, but is not limited to letters of enforcement.	**Retain** for 10 years after completed RCS involvement *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50692 Rev. 5	***Residential Care Services Facilities Licensing/Certification Application (Voided, Denied, Withdrawn)*** Contains all documentation related to the voided, denied, and withdrawn application for Licensure/Certification of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), Enhanced Services Facility (ESF), and Residential Habilitation Centers (RHC). *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-06-50690 Rev. 5	***Residential Care Services Facility Licensing and Business Files (Closed)*** Contains licensing and business files for residential care facilities. Includes, but is not limited to: • Original application, copy of application check, correspondence, Disclosure of Services; • Licenses and any documents that require issuance of that license, exemptions, and limits on a license, recertification of support program, CMS 1539; • Change in entity representative, resident manager, district/unit, and contacts; • Change in administrator, contacts, and other information; • Change in services, supports provider information, geographic area of service administrator, and certification type change or ending; • Annual fee check and liability insurance, surety bond; • Contracts, agreements, and background checks; • Construction review and approval, and room allocation/waivers/bed list; • Closure documentation; • Change of ownership documentation. *Note: Series contains confidential information.*	**Retain** for 10 years after facility closure *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.4 RESIDENTIAL CARE SERVICES – Office 431

This section covers Residential Care Services records relating to the licensing and monitoring of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Enhanced Services Facility (ESF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), and Residential Habilitation Center (RHC). Includes Western State Hospital complaint investigation files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-05-60677 Rev. 4	***Residential Care Services Survey/Recertification File*** Documentation pertaining to compliance of Federal and/or State guidelines for facility recertification, inspection, and surveys of Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Support (CCRSS), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Skilled Nursing Facilities (SNF), Enhanced Services Facility (ESF), and Residential Habilitation Centers (RHC). *Note: Series contains confidential information.*	**Retain** for 6 years after recertification issued *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
04-05-60666 Rev. 6	***Residential Care Services Working Paper Files*** Records related to records obtained, created and/or used as reference to provide technical support to licensed and certified long-term care facilities/providers in support of the conclusion of a complaint investigation, facility survey, inspection or recertification, enforcement, pre-occupancy, or Information Dispute Resolution (IDR). Includes, but is not limited to Behavioral Health Support Team working papers and Western State Hospital complaint investigations. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

2.5 ADULT PROTECTIVE SERVICES – Office 906

This section covers records relating to Office 909 Adult Protective Services of the Aging and Long-Term Support Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-11-62143 Rev. 2	***Adult Protective Services Investigations*** Records relating to Adult Protective Services investigations into allegations of abuse, abandonment, neglect, self-neglect and financial exploitation of vulnerable adults (as defined by RCW 74.34.020) living in the community and in facilities. Includes investigations where the findings are substantiated, unsubstantiated or inconclusive. *Note: Series contains confidential information.* *Note: Retention based on business needs of Adult Protective Services.*	**Retain** for 35 years after last activity *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

3. DSHS INSTITUTIONS

This section covers records relating to the institutions operated by the Department of Social and Health Services

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-08-51207 Rev. 1	***24-Hour Nursing Reports*** A change of shift communication tool summarizing entries in patient case records. Used by Quality Assurance Department to prepare restraint/seclusion reports. *Note: Primarily used by Office 763 Western State Hospital and Office 769 Special Commitment Center.* *Note: Series contains confidential information.*	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31415 Rev. 3	***Admission and Discharge Registers*** Maintains a chronologic record of resident admissions, discharges, and transfers. *Note: Series contains confidential information.*	**Retain** for 10 years after completion of action report *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** **(for Disaster Recovery)** OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-11-34723 Rev. 0	***Controlled Drug Perpetual Inventory Records*** Provides a record of controlled drug/substance inventories maintained by the institution pharmacy. Includes, but is not limited to: • Biennial inventory of controlled substances required by the Federal Drug Enforcement Administration; • Other reports as necessary.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
85-12-35762 Rev. 2	***Daily Population Reports*** Printout of daily changes of the clients at institutions, used to record the total changes of clients. *Note: Series contains confidential information.*	**Retain** for 3 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
86-09-37496 Rev. 3	***Employee/Volunteer Health Records*** Provides documentation about employee or volunteer immunization status and epidemiology test results. Includes, but is not limited to: • Results of testing for HIV and Hepatitis B; • Exposure to biological agents per Chapter 296-802 WAC; • Kinship Care. *Note: Series contains confidential information.*	**Retain** for 30 years after termination of employment/volunteer *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-02-69345 Rev. 0	***Equipment Sterilization*** Records relating to the sterilization of equipment or materials for medical use.	**Retain** for 8 years after date of sterilization *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
85-12-35763 Rev. 2	***Fire/Safety/CPR Training Records*** Verifies completion of required staff training.	**Retain** until superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
82-09-30273 Rev. 2	***Food Commodity Records*** All documentation regarding food commodities as it relates to the U.S. Department of Agriculture (USDA) Child Nutrition Program. Includes, but is not limited to: • Reports; • Reimbursements; • Guidelines.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-09-51249 Rev. 3	***Logbooks and Rosters*** Provides detailed documentation of daily activities of residents including visits and security checks.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-12-35764 Rev. 4	***Master Patient Index*** Provides confidential basic information and is the alpha index list to the Mental Health Division patient case files. Includes, but is not limited to: • Patient name, case number, and dates of admission/discharge; • Cases that have been transferred; • Names of patients buried on hospital grounds. *Note: Additionally used for genealogy requests, research, etc.* *Note: Series contains confidential information.*	**Retain** for 75 years after transfer/discharge of client *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** **(for Disaster Recovery)** OPR
86-09-37550 Rev. 2	***Medical Record Census Input Documents*** Provides a record of census data which has been input into the Mental Health Institution Information System (MHIIS). *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-06-52550 Rev. 3	***Medicare and Medicaid Cost Reports*** Annual reports for state mental hospitals required by federal government (HCFA 2552 with supporting documentation) as a condition for Medicare reimbursement. Summarizes hospital cost data needed to determine daily rate and fee schedule.	**Retain** for 5 years after receipt of Notice of Program Reimbursement (NPR) *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-10-58163 Rev. 1	***Mental Health Patient Case Records*** Patient case records documenting services provided while a patient. *Note: Series contains confidential information.*	**Retain** for 75 years after patient's last discharge *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
84-11-34776 Rev. 2	***Nursing Aide Certification Student Records*** Documents completion of certification requirements including examinations, attendance, work experience, and checklists. The nursing aide certification program is approved by the State Board of Nursing per WAC 246.841.510. *Note: Series contains confidential information.*	**Retain** for 35 years after completion of training *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
84-11-34720 Rev. 2	***Prescription Files*** Documents prescriptions filled by the pharmacy. *Note: Series contains confidential information.* *Note: Retention based on 10-year requirement for Part D plan sponsors (42 CFR§ 423.505(d)).*	**Retain** for 10 after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-08-51210 Rev. 1	***Psychological Test Raw Data*** Consists of raw test data and notes by the psychologist. Used to prepare Psychological Reports for the patient record. *Note: Series contains confidential information.*	**Retain** for 15 years after discharge or transfer *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-08-51203 Rev. 2	***Psychology Intern Applicant Support Files*** Supporting documentation from applicants for psychology internships. Includes vitae/resumes, transcripts, letters of recommendation, and applicant ratings. *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
92-08-51204 Rev. 1	***Psychology Internship Training Rating File*** Documents intern rating of training and supervision received during internship. Used for program accreditation and evaluation purposes.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
85-12-35775 Rev. 0	***Quality Assurance Plan/Status Log/Problem Report*** Provides documentation of quality assurance audits for Medical Support Service.	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31417 Rev. 4	***Resident Abuse Investigation Files*** Provides documentation of the investigation of suspected resident abuse. Includes physical findings, photographs, studies, and conclusions. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 7 years after resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-07-22788 Rev. 3	***Resident Case Master Index*** Provides basic information on a case and documents cases that have been transferred. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 50 years after resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
75-05-10896 Rev. 3	***Resident Case Record*** Provides a record of all services provided the resident prior to and during institutionalization in a state operated facility for the developmentally disabled. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 50 years after resident's death/discharge *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
84-11-34718 Rev. 3	***Resident Medication Profile Cards*** Provides summary of prescription drugs and quantities dispensed by the pharmacy. Resident's habilitative case file contains physician orders and medication administration (flow sheets) record. Prescriptions are retained separately. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** until resident's death/discharge/transfer *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
84-11-34713 Rev. 1	***Resident Test Profiles*** Actual test materials, raw data and results from which formal evaluation or assessment is formulated. Reports are filed in the resident rehabilitative case record. *Note: Primarily used by Division of Developmental Disabilities institutions.* *Note: Series contains confidential information.*	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ALL INSTITUTIONS

This section covers records common across all DSHS institutions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
73-11-03252 Rev. 2	***Statistical Report (Ward Census)*** Reports patients coming in and leaving the hospital and census of the wards. *Note: Series contains confidential information.*	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
84-11-34753 Rev. 1	***Work and Vacation Schedules*** Documents employee work schedules, shifts, and days off.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-12-62333 Rev. 2	***Communications Center Response Reports*** Security log documentation of responses by Western State Hospital Communication Center regarding both routine and rapid response emergency calls. Information contained includes date and time, information given to Security Guards, type of emergency code, and reports to police. Includes, but is not limited to: • Patients missing or exhibiting notable behavior; • Lakewood and Steilacoom police calls; • Medical emergencies. *Note: Series contains confidential information.*	**Retain** for 7 years date of incident *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
10-12-62336 Rev. 0	***Dietary Services Food Health and Safety Records*** Safety and health documentation of food cooked and served, and stored in refrigerators/freezers by Dietary Services, ward kitchens, storage areas, dishwashing areas, and hot food carts. Includes, but is not limited to: • Inspections results and food temperature recordings; • Sanitation solution log; • Cleaning schedules.	**Retain** for 2 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-05-62198 Rev. 0	***Medication Area Inspection Record*** Medication Area Inspect Records, WSH 14-04, forms are completed monthly by a Pharmacy Technician after completing an inventory and medication distribution area inspection of the cottage medication rooms. *Note: Information is verified by a nurse and kept in a binder located in the medication room.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-12-62337 Rev. 1	***Patient Work Records*** Documentation used to track patients and patient work schedules employed by Dietary Services, including accounting information to pay patient workers. *Note: Series contains confidential information.*	**Retain** for 6 years after termination of employment *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
22-02-69648 Rev. 0	***Radiology – Digital Imaging*** Images produced by diagnostic equipment as part of a medical or dental examination to determine condition, disease, or injury. Excludes: • Diagnostic reports based on images covered by *Mental Health Patient Case Records (DAN 97-10-58163)*.	**Retain** for 10 years after date of test or assessment *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-12-62334 Rev. 1	***Security Shift Activities and Incident Reports*** Narrative reports about incidents involving staff, patients, and/or visitors which may include photographs, evidence, contraband, and Health Insurance Portability and Accountability Act (HIPAA) information. This series also includes traffic citations and documents daily security shift activities. *Note: Series contains confidential information.*	**Retain** for 7 years after date of incident *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

3.2 WESTERN STATE HOSPITAL – Office 763

This section covers records relating to records specific to Western State Hospital.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62153 Rev. 1	***Single Bed Certifications (SBC)*** Single Bed Certification forms are used for patients who have been detained and are in a community hospital waiting either for placement at Western State Hospital (WSH) or discharge from the community hospital. These forms authorize patients to stay in the community hospital although they are psychiatric patients. WSH receives the requests for SBC authorization as the designee for the Mental Health Division per WAC 388-865-0526. *Note: Series contains confidential information.*	**Retain** for 6 years after date of document *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
85-12-35766 Rev. 0	***Staff Orientation Checklist*** Used to familiarize new employees with work environment.	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.3 CHILD STUDY AND TREATMENT CENTER – Office 765

This section covers records relating to records specific to the Child Study and Treatment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-09-37557 Rev. 1	***Cottage Journals*** Provides a record of administrative activities within residential units and documents events worthy of note. *Note: Series contains confidential information.*	**Retain** for 3 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
86-09-37551 Rev. 3	***Disease/Diagnosis Index*** Provides an index of Child Study and Treatment Center patients' final diagnoses. Used for research and hospital statistics. *Note: Series contains confidential information.*	**Retain** for 20 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
86-09-37548 Rev. 2	***Forensic Evaluation Record*** Provides a record of forensic evaluations on children referred to the Child Study and Treatment Center. *Note: Series contains confidential information.*	**Retain** for 10 years after child is 18 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-03-62121 Rev. 2	***Free or Reduced Meal Documents*** Office of Superintendent of Public Instruction (OSPI) records documentation for free or reduced meals, includes, but not limited to: • National School Lunch Act applications and verification; • School breakfast program plans and documentation; • Records of food prepared and served; • Meal tickets/credits and pre-paid meal tickets issued; • Monthly meal counts. *Note: Series contains confidential information.*	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

3.3 CHILD STUDY AND TREATMENT CENTER – Office 765

This section covers records relating to records specific to the Child Study and Treatment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-03-62122 Rev. 0	***Hazard Analysis and Critical Control Points (HACCP) Documentation*** Food production plans and reports of standard operating procedures in key actions, called Critical Control Points, which address physical, chemical, and biological safety preventions/precautions required by HACCP (a federal program).	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
86-09-37545 Rev. 3	***Patient Case Records (Child Study and Treatment Center)*** Documents services provided to patients in the residential and pre-adolescent day treatment programs. *Note: Series contains confidential information.*	**Retain** for 75 years after child is 18 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
10-04-62138 Rev. 2	***Patient Observation Checklist Forms*** Documentation of patient status checks performed every ½ hour for safety and security of the patients hospitalized at the Child Study and Treatment Center. Includes, but is not limited to: • Bed check logs; • Nurse or counselor notes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
10-04-62139 Rev. 2	***Shift Report*** Documentation of patient and shift information presented at shift change meetings to inform on-coming shift of prior shift occurrences. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62195 Rev. 2	***Advocate Investigation and Debriefing Files*** Advocate investigation and debriefing files pertain to external review of programs within the treatment, care, and control of residents within the Special Commitment Center (SCC) and SCC transitional units. Includes, but not limited to: • Personal notes, notes from the courts; • Supporting documents for SCC investigations and debriefings related to complaints about practice/policy and statutes, and care and control of residents. Excludes criminal investigation, legal investigations, or investigations related to their sex offender status. *Note: May include infamous/notorious residents.* *Note: Includes confidential information.*	**Retain** for 6 years after close of investigation *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM
93-08-52668 Rev. 0	***Daily Count Slips*** Records resident counts taken several time each day.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-08-52664 Rev. 1	***Psychometric Testing Records*** Includes test results and raw data, video interviews, audio recordings, plethysmograph and polygraph tapes (on thermal paper), and consent forms. Copies of results and evaluations are filed in the Special Committee Center (SCC) Resident Case Record and sent to the prosecuting attorney. *Note: Series contains confidential information.*	**Retain** for 6 years after evaluation is completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-08-52659 Rev. 0	***Resident Work Records and Reports*** Provides documentation of resident employment and monies credited to their trust account. Includes time sheets.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
93-08-52669 Rev. 0	***Security Inspection Sign-Off Sheets*** Form SCC-07, documents completion of regular security inspections.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-08-52663 Rev. 0	***Sharp Instrument Log*** Documents resident check out and return of razors or other sharp instruments.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-01-53477 Rev. 2	***Special Commitment Center Resident Case Files*** Documents the evaluation, treatment, and progress of committed residents. Includes progress notes and other documentation. Includes: Intensive Watch Sheets; Progress Notes; copies of legal documents relating to commitment; copies of selected documents from the Dept. of Corrections inmate case file (Infraction Reports, Classification Progress Reports); correspondence; Evaluation Reports; Treatment Plans; copies of documents from local law enforcement agencies (Police Investigations, Evidence Reports, Victim's Statements, Confessions, Pre-sentence Investigations, and Local Community Corrections Reports); Medication Charts; and Lab Reports. *Note: Series contains confidential information.*	**Retain** for 75 years after release of custody *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
07-09-61629 Rev. 1	***Special Commitment Center (SCC) Investigative Files*** All investigative materials collected by the Investigations Office, including but not limited to Incident Reports, witness statements, images whether photographic, video or otherwise, shall be maintained by the investigator's office until conclusion of the investigation. *Note: The final report is kept in the Special Commitment Center Resident Case File, DAN 94-01-53477.* *Note: Series contains confidential information.*	**Retain** for 6 years after close of investigation *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
07-09-61630 Rev. 1	***Special Commitment Center (SCC) Investigative Unfounded Video Tapes*** Video tapes made of room searches where contraband was not found. *Note: Series contains confidential information.*	**Retain** for 3 months after close of investigation *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.4 SPECIAL COMMITMENT CENTER – Office 769

This section covers records relating to the Special Commitment Center.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-08-52661 Rev. 1	***Unit Control Logs*** Records documenting activity in the treatment units during a shift including visitors, staffing, equipment in/out, and food services provided.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.5 RAINIER SCHOOL – Office 814

This section covers records relating specifically to Rainier School.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31416 Rev. 2	***Death Register*** Maintains a chronologic list of resident deaths. *Note: Series contains confidential information.*	**Retain** for 50 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31430 Rev. 0	***Hall Daily Books*** Records activities on resident halls. Used for inter-shift communication. Includes Census Book, Visitor Log, Maintenance Log, Inter-Shift Communication Book, Living Unit Staff Book, Program Cancellation Log, Fire Drill Log, and Initial Roster.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31435 Rev. 1	***Population Change Record*** A weekly record documenting population changes. *Note: Series contains confidential information.*	**Retain** for 1 year after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31420 Rev. 1	***Surname Reference Card*** Provides a cross reference between residents and relatives or correspondents.	**Retain** for 50 years after death/discharge/transfer of resident *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3.5 RAINIER SCHOOL – Office 814

This section covers records relating specifically to Rainier School.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31431 Rev. 0	***Twice Daily Count Record*** Documents resident counts.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
84-11-34781 Rev. 2	***X-Ray Films – Developmentally Disabled (DD) Institution Employees*** Records physical condition of employees/staff at an institution for the developmentally disabled. Reports are filed in the employee's personnel file. *Note: Series contains confidential information.*	**Retain** for 5 years after termination of employment *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

3.6 STATE OPERATED LIVING ALTERNATIVE (SOLA) – Office 819

This section covers records relating specifically to State Operated Living Alternative (SOLA) facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61100 Rev. 1	***Medical Management Files*** Provides a record of medical management of Division of Developmentally Disabled (DDD) clients living independently in State Operated Living Alternative (SOLA) homes. These records are used for communication among the staff and shifts of a SOLA home to insure coverage and consistency. Includes, but is not limited to: • Medication Administration Records (MAR); • Tracking flow sheet (e.g., behavior, sleep, eating); • 90-day reviews, and nurse delegation notes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
06-01-61099 Rev. 2	***State Operated Living Alternative (SOLA) Client Personal Files*** Contains copies of award letters, employment reports and files, individual client service plans, and Plan of Care agreements. Kept for home audits. Original documents are kept under 07-08-61584, Developmental Disabilities Client Case Files (Discharge or Death), for 50 years after client discharge or death. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
06-01-61097 Rev. 1	***State Operated Living Alternative (SOLA) Client Personal Financial Records*** Contains financial records of SOLA program clients to include individual client financial plans, bank statements, check registers, cash fund ledgers, lease agreements, household ledgers, pay stubs, tax returns, medical payments, audit forms, inventory records, utility bills, etc. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

3.6 STATE OPERATED LIVING ALTERNATIVE (SOLA) – Office 819

This section covers records relating specifically to State Operated Living Alternative (SOLA) facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-01-61098 Rev. 1	***State Operated Living Alternative (SOLA) Inventory of Pharmaceuticals*** Daily inventories of pharmaceuticals located at SOLA homes. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
80-08-25415 Rev. 2	***Supported Living Files*** Provides a record of training and supervision of Division of Developmentally Disabled (DDD) clients living independently in State Operated Living Alternative (SOLA), homes to include detailed documentation of daily activities of SOLA residents such as daily log sheets and staffing pager log sheets. These records are used for communication among the staff and shifts of a SOLA home to insure coverage and consistency. *Note: Series contains confidential information.*	**Retain** for 7 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4. ECONOMIC SERVICES ADMINISTRATION

This section covers records relating to offices within the Economic Services Administration. This includes all Community Services Offices, Office 600 Community Services Division, and Office 781 ESA Operations Support Division.

4.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-02-36057 Rev. 4	***Case Record – Financial, Extra Volume*** Documentation of eligibility and payments to recipients for financial, medical, or food stamp benefits. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after creation of new volume *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
74-05-05110 Rev. 6	***Case Record – Financial, Final Volume*** Documentation of eligibility and payments to recipients for financial, medical, or food stamp benefits. Also covers cases transferred to OFR for estate recovery action. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after financial services case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
86-02-36058 Rev. 4	***Case Record – Social Services, Extra Volume*** Documentation of eligibility and authorization for social services provided as outlined in the Social Services Manual. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after creation of new volume *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

4.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-05-05111 Rev. 8	***Case Record – Social Services, Final Volume*** Documentation of eligibility and authorization for social services provided as outlined in the social services manual. Also covers cases transferred to OFR for estate recovery action. *Note: Source documents will be destroyed only after the imaged information is verified for accuracy.* *Note: Series contains confidential information.*	**Retain** for 3 years after social services case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
10-09-62312 Rev. 1	***Electronic Benefit Transfer (EBT) Records*** All records about the EBT card program. Includes, but is not limited to: • Supplemental Nutrition Assistance Program (SNAP) benefits transferred to/from the facilities' and client accounts; • Annual audit reports/information related to the functions of each facility to ensure guideline and federal rules and regulations compliance; • Missing, replaced or recovered EBT cards; • Signed reconciliations for EBT card inventory; • Any other card-related paper documents (shipping manifests, etc.).	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
74-06-05292 Rev. 5	***Exception to Policy Records (State and Local Office Files)*** Documents requests for exception rulings. Includes DSHS 05-010, Policy Exception Request, and DSHS 05-177, Notice of Policy Exception Action. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.1 GENERAL

This section covers records relating to Economic Services Administration.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
75-10-15969 Rev. 3	***Negotiable Control Records and Reports*** Documents receipt and disposition of negotiable items and affidavits processed through the automated Registration and Control of Negotiables (RCN) system. Includes, but is not limited to: • Signed Negotiable Release Forms; • Reconciled monthly reports; • Screen-prints of deleted RCNS; • Warrant/affidavit transmittal copies; • FCA destruction report; • All other related forms and correspondence. *Note: Reference the RCN Handbook.*	**Retain** for 3 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
75-08-13170 Rev. 2	***Public Assistance Programs Correspondence*** Public Assistance Programs correspondence from key stakeholders and customers regarding the implementation, maintenance, staffing, budgeting, training, and monitoring used to maintain a records for potential litigation, complaints, comments, or legal interpretations. May address legal issues. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
84-01-33323 Rev. 3	***Supplemental Nutrition Assistance Program (SNAP) Quality Control and Management Evaluation Case Reviews*** Provides a sample of case records to be reviewed for compliance with Food Stamp rules and regulations relating to quality control. *Note: Office 930 ESA Division of Program Integrity is the primary user of this series.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.2 DIVISION OF CHILD SUPPORT – Office 260

This section covers records relating to the Division of Child Support.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-09-53098 Rev. 1	***Child Support Program Administration*** Operational policies and procedures of the Division of Child Support, including superseded pages and revision control notices. Includes the State Child Support Plan and support schedules. This falls under RCW 6.17.020(2). *Note: Aligns with the case file retention so that any disputed casework can reference the procedure in place at the time the case was worked.*	**Retain** for 28 years after policy/procedure discontinued *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** **(for Disaster Recovery)** OFM
90-03-45928 Rev. 5	***Child Support Program Case Information*** Support Enforcement Management System data which falls under RCW 6.17.020(2). Information used to establish, enforce, collect and disburse child support obligations. *Note: Series contains confidential information.*	**Retain** for 28 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
80-06-25027 Rev. 2	***Child Support Program Reports*** Collection and statistical information needed for the operation of the Title IV-D child support program as described in the Social Security Act. Includes, but is not limited to: • Reports for covering program effectiveness and statistical trending; • Reports generated for legislative review; • Information used to determine propriety of expenditures for which participation is claimed. *Note: Includes reports listed in SEMS Reports Index.*	**Retain** for 6 years after end of calendar year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** **ESSENTIAL** **(for Disaster Recovery)** OFM

4.3 DIVISION OF DISABILITY DETERMINATION SERVICES – Office 510

This section covers records relating to the Division of Disability Determination Services (DDDS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-10-26096 Rev. 2	***Disability Insurance Case Files (Partial)*** Maintains a record of identifying information (name, Social Security Number, allowed or disallowed decision, and decision date) on case files sent to the federal Social Security Administration (SSA). *Note: Series contains confidential information.*	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
12-06-68253 Rev. 2	***Disability Insurance Master File*** Maintains an electronic record of case decisions and file location. *Note: Replaces DAN 80-MM-26097.* *Note: Series contains confidential information.*	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
84-07-34185 Rev. 1	***Fee Schedules and Billing Instructions*** Documents reimbursement rates and policies for medical assistance providers. Includes rate sheets; copy of published fee schedules and billing instructions; reviews and comments on billing instructions prior to publication; and related back-up.	**Retain** for 6 years after superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-03-33496 Rev. 1	***Hearing/Appeal Files (Social Security Administration)*** Provides informational copies of documentation of decisions made by Social Security Administration on appeal cases for the Division of Disability Determination Services. *Note: Series contains confidential information.*	**Retain** for 2 years after resolution of findings *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.3 DIVISION OF DISABILITY DETERMINATION SERVICES – Office 510

This section covers records relating to the Division of Disability Determination Services (DDDS).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-12-26570 Rev. 7	***Medical Evidence of Record (MER) Payments*** Provides documentation of payment for medical reports from physicians. Maintained for federal audit purposes. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-12-26569 Rev. 6	***Medical Exam Vouchers – Consultative Examinations (CE)*** Provides documentation of payment for services performed by medical vendors. Maintained for federal audit purposes. Includes travel, lab, and remittance advice. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5. REHABILITATION SERVICES

This section covers records relating to rehabilitation services which are not covered by the *State Government General Records Retention Schedule*.

5.1 DIVISION OF VOCATIONAL REHABILITATION – Office 950

This section covers records relating to the Division of Vocational Rehabilitation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-10-07016 Rev. 1	***Service and Complaint Files*** Communications covering inquiries regarding Division of Vocational Rehabilitation services, complaints, etc. *Note: Series contains confidential information.*	**Retain** for 7 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
74-07-05549 Rev. 6	***Vocational Rehabilitation Client Case Files*** Documents services provided to clients. Includes client applications and authorizations for purchased services. *Note: Series contains confidential information.*	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

6. LEGACY RECORDS

This section covers records no longer being created or received by the Department of Social and Health Services (or any predecessor agencies) which have yet to reach their minimum retention period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-09-61276 Rev. 0	***Lakeland Village Swimming Pool Use – Nonscheduled Hours*** Records used to document Lakeland Village pool use to include log-in (name, date and time of pool use), checklists for safety and pool rules, and signed authorizations acknowledging pool orientation, permission to use pool, and receipt of pool rules.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50769 Rev. 2	***Office of Refugee and Immigrant Assistance (ORIA) Social Services Case Files*** Documents ORIA provided foster care services for unaccompanied minors. *Note: Office 925 Office of Refugee and Immigrant Assistance (ORIA) is the primary user of this series.* *Note: Series contains confidential information.*	**Retain** for 9 years after case closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
04-05-60681 Rev. 3	***Resident and Client Protection Program Closed/No Finding/Overturned Finding Case Files*** Records documenting resident and client protection closed, no finding or overturned case files. Includes, but is not limited to: • Complaint intake and routing form; • Investigator's working papers and photographs; • Facility investigation documents; • Financial and resident records; • Police and investigator reports. *Note: Series contains confidential information.*	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-02-53578 Rev. 2	***Washington Telephone Assistance Program (WATAP) Fair Hearing and Appeal Records*** Washington Telephone Assistance Program (WATAP) requests for appeal of eligibility for program payments and documentation of decisions. *Note: Series contains confidential information.*	**Retain** for 6 years after final action on case *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

GLOSSARY

Appraisal

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

Archival (Appraisal Required)

Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met.

Archival (Permanent Retention)

Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation.

Disposition

Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction.

Disposition Authority Number (DAN)

Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series.

Essential Records

Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster. Security backups of these public records should be created and may be deposited with the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records.

Local Records Committee

Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee's three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor.

Non-Archival

Designation given to public records that do not possess sufficient historical value to be designated as "Archival." Agencies must retain these records for the minimum retention period specified by the appropriate current records retention schedule. Agencies should destroy these records after their minimum retention period expires, provided the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

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

OFM (Office Files and Memoranda)

Public records not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda.

OPR (Official Public Records)

Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records.

Public Records

Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics.

Records Series

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

State Records Committee

Committee established by RCW 40.14.050 to review and approve disposition of state government records. Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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