

This schedule applies to: Health Care Authority

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Health Care Authority relating to the unique functions of administration and oversight for state health care programs including the Public Employees Benefit Board (PEBB). The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

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

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

Revocation of previously issued records retention schedules

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

Authority

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

Signature on File

For the State Auditor:
Al Rose

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Steve Excell

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	June 6, 2012	Consolidation of all existing disposition authorities (with some minor revisions to most records series).
1.1	September 5, 2012	Minor revisions to retention periods of dental program, hospital reimbursement, and hospital settlement records and removing "Archival" designation from Hearings and Appeals.
1.2	March 6, 2013	Addition of one new record series to the Public Employees Benefits Board (PEBB) section.
1.3	March 5, 2014	Minor revisions to the Eligibility Policy and Service Delivery, Health Care Services and Systems and Monitoring sections.
1.4	June 4, 2014	Minor revision to Legacy section re-instating previously discontinued records series which still have records which have not yet met their minimum retention.
1.5	December 3, 2014	Addition of one new record series to the Systems and Monitoring section.
1.6	June 6, 2018 (effective July 1, 2018)	Addition new Behavior Health Records section and minor revisions to the Financial Services, Health Care Services and Legal Services sections.

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

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1. BEHAVIORAL HEALTH RECORDS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69275 Rev. 0	<p>Background Checks on Applicants for Concealed Weapons Permits and Firearms Dealer's Licenses</p> <p>Records on Mental Health background checks on anyone applying for a Concealed Weapons Permit or Firearms Dealer's License as required by RCW 9.41.040 and RCW 71.05.</p> <p><i>Note: Series contains confidential information.</i></p> <p><i>Note: Replaces DAN 00-09-59908 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 5 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OFM</p>
18-07-69276 Rev. 0	<p>Compliance Files</p> <p>Records documenting compliance with various state and federal laws. These files support federal audits as well as any litigation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Incidents and complaints, corrective action plans; • Prior and current law suits, service provider processes; • Audits and audit findings, and denied claims. <p><i>Note: Series contains confidential information.</i></p> <p><i>Note: Replaces DAN 06-01-61063 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of month <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69277 Rev. 0	<p><i>Continuing Education Units (CEU) Training Documentation</i></p> <p>Records documenting the behavioral training conducted by DOH employees and/or private sector trainers provided to participants to gain Continuing Education Units (CEU) in order to acquire or maintain a professional license or certification to provide counseling. These records are retained to document that an attending CEU participant earned their license or certification.</p> <p><i>Note: If training is conducted through a college, the college is required to maintain the completion or certification files.</i></p> <p><i>Note: Replaces DAN 09-11-62153 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of month <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
18-07-69280 Rev. 0	<p><i>Nursing Facility Resident Mental Health Assessments</i></p> <p>Records documenting resident mental health assessments. Review required by federal Omnibus Reconciliation Act of 1987 (OBRA PASSAR Assessment).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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. <p><i>Note: Series contains confidential information.</i></p> <p><i>Note: Replaces DAN 92-10-51388 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69281 Rev. 0	<p>Offender Reentry Community Safety (ORCS) Program Files</p> <p>Records documenting case management and programs for services for Offender Reentry Community Safety (ORCS) Program clients.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agreements with local mental health centers and regional support networks; • Unfunded medical expenses and chemical dependency treatment; • Housing and employment services. <p><i>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.</i></p> <p><i>Note: Series contains confidential information.</i></p> <p><i>Note: Replaced DAN 07-04-61456 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 8 years after one year (12 months) of no services provided</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>OPR</p>

2. ELIGIBILITY POLICY AND SERVICE DELIVERY

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14-03-68496 Rev. 0	<p>Background Check/Applications/Agreements</p> <p>Any Documents that the Health Care Authority is assisting with in verifying an Organization/Counselor is qualified to become a Certified Application Counselor Coordinator for the Washington Health Benefit Exchange.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Washington State Patrol (WSP) Background Checks; • Implementation Guidelines; • Certified Application Counselor 3-N-1 Attestations (Confidentiality and Non-Discloser, Code of Ethics, Conflict of interest Standards). 	<p>Retain for 7 years after agreement ends <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62466 Rev. 1	<p>Client Eligibility Files</p> <p>Medical eligibility records for Medical/Medicaid benefits.</p> <p><i>Note: Replaced DAN 99-MM-59125 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after file is closed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62467 Rev. 1	<p>Managed Care Organizations</p> <p>Documents medical assistance client's choice of Medicaid/Medical plans. The form is used to update the Medicaid Management Information System.</p> <p><i>Note: Replaced DAN 93-06-52549 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 1 year after data entry accomplished <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM

3. FINANCIAL SERVICES

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-06-68276 Rev. 0	<p><i>Drug Rebate Reports</i></p> <p>Documents the management of drug rebates from pharmaceutical companies. Medicaid Drug Rebate program requires drug manufactures to enter into and have in effect a national rebate agreement to receive federal funding for outpatient drugs dispensed to Medicaid patients. Documentation must be maintained for the life of the program per federal requirements as manufacturers frequently change past prices and/or dispute items.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Drug Summary Report by filing Quarter (RRSM475); • Drug Rebate Debit Balances with no Payments (RRSM485); • Other such payment documentation, telephone contact logs; • Activity logs and correspondence. <p><i>Note: Replaced DAN 95-06-55319 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after end of Medicaid drug rebate program <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OFM</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62487 Rev. 1	<p><i>Durable Medical Equipment (DME) Program</i></p> <p>Records pertaining to the operation of the program such as approvals, justifications, and denials.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Medical documentation, rental, modifications; • Purchase or repair to include any of the following: hospital beds, positioning equipment, wheelchairs, prosthetics, orthotics, and specialty wound care, and other DME supplies. <p><i>Note: Replaced DAN 81-02-26889 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after date of service <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-08-62488 Rev. 1	<p><i>Federally Qualified Health Centers</i></p> <p>Audit and settlement documentation with Federally Qualified Health Centers (FQHC) that provider services under Title XIX (Medicaid). Basis of rate setting per RCW 74.46.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Cost reports, work papers; • Spreadsheets and correspondence. <p><i>Note: Replaced DAN 99-11-59335 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after resolution of audit finding <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62509 Rev. 1	<p><i>Fee Schedules and Billing Instructions</i></p> <p>Documents reimbursement rates and policies for medical assistance providers and various Title XIX medical assistance programs other than hospitals.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Rate sheets; published fee schedules and billing instructions; • Reviews and comments on billing instructions prior to publication; • Evaluations and other correspondence; • Related back-up. <p><i>Note: Replaced DAN 84-07-34185 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62489 Rev. 1	<p><i>First Steps Maternity Client Files</i></p> <p>Provides records of clients enrolled in the maternity program.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Pre-approvals for Special Needs care/doctor's scripts, • Background check results, working notes, and tax documentation; • Provider communications, support designs, client information. <p><i>Note: Replaced DAN 05-09-60982 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62491 Rev. 2	<p><i>Hospital Reimbursements – Under Appeal</i></p> <p>Supportive documentation for Medicaid reimbursement for hospital rates that are being held in anticipation of the ongoing appeal process.</p> <p><i>Note: Replaced DAN 00-12-59995 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62490 Rev. 2	<p>Hospital Settlement Files</p> <p>Cost settlement documentation for all hospital facilities including Critical Access hospitals. Includes but not limited to:</p> <ul style="list-style-type: none"> Recoupment and/or payments. <p><i>Note: Replaced DAN 84-07-34169 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after date of settlement <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62493 Rev. 1	<p>Medical Provider Rates Files</p> <p>Documents establishment of reimbursement rates for medical providers other than hospitals under the Medical Assistance (Medicaid Title XIX) program. Includes, but is not limited to the establishment of rates for:</p> <ul style="list-style-type: none"> Drugs and eyeglasses; Durable medical equipment. <p><i>Note: Replaced DAN 80-10-26147 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62494 Rev. 1	<p>Medicare Cost Claim Reports</p> <p>Cost reports used for hospital rate setting and reimbursement under Title XIX (Medicaid). Includes, but is not limited to:</p> <ul style="list-style-type: none"> CMS 2552 cost reports. <p><i>Note: Replace DAN 83-05-31954 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after claim resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69282 Rev. 0	<p>Premium Payment Program (PPP) Client Reimbursement Files</p> <p>Records documenting payments to clients and the activities related to reimbursement of monthly premiums.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of the letters/correspondence sent to clients; • Proof of payment (wage stubs, billing and bank statements); • Copies of insurance cards. 	<p>Retain for 6 years after final payment to the client <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
18-07-69283 Rev. 0	<p>Premium Payment Program (PPP) Cost Sharing Program Files</p> <p>Records documenting payments to clients and activities related cost-sharing.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of the letters/correspondence sent to clients); • Proof of payment (EOBs, receipts, credit card payments). 	<p>Retain for 6 years after eligibility date of the client <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62495 Rev. 1	<p>Professional Reimbursement – Under Appeal</p> <p>Supportive documentation for reimbursement revolving around professional rates that are being held in anticipation of the on-going appeal process. Used for individual providers.</p> <p><i>Note: Replaced DAN 00-12-59994 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62496 Rev. 1	<p>Prospective Payment System (PPS) Documentation</p> <p>Establishes a methodology for inpatient hospital reimbursement based on Diagnostic Related Groups under the terms of the Title 19 State Plan. Includes payment history information used to develop reimbursement rates.</p> <p><i>Note: Replaced DAN 80-10-26148 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62497 Rev. 1	<p><i>Third Party Liability (TPL) Cases and Payment Cards</i></p> <p>Documents payments to providers and activity related to cost avoidance/recovery for medical assistance recipients.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Third Party Medical Vendor Payment Cards (DSHS 18-232); • Finalized A-19's (Invoice Vouchers), and premium payments; • Master Pay cards maintained by the Cash Control Unit; • Third Party Medical Vendor Payment Cards maintained by the Casualty Unit. <p><i>Note: Replaced DAN 79-03-22062 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after final payment <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

4. HEALTH CARE SERVICES

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-06-68275 Rev. 0	<p><i>Basic Health Plan (BHP) Enrollment and Account Maintenance</i></p> <p>Account correspondence relating to member enrollment and maintenance activities of the Basic Health Plan (BHP).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Member enrollment information; • Account activity. 	<p>Retain for 6 years after date of last activity <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69278 Rev. 0	<p>HIPAA Privacy Documentation</p> <p>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:</p> <ul style="list-style-type: none"> • Exercise of client rights relating to protected health information , including requests for amendment, accounting of disclosures, restrictions on use and disclosure, confidential communications; • Forms adopted for compliance with rule, including Notice of Privacy Practices and Acknowledgments; • Completed forms, including consents and authorizations; • Procedures and policies; • Designated record sets; • Privacy complaints and dispositions, including transactions referred by HHS Office for Civil Rights; • Training materials and documentation; • Breaches of unsecured protected health information, including notifications; • Client access requests to designated records sets. <p><i>Note: Series contains confidential information.</i></p>	<p>Retain for 6 years after date of creation, final response, or date last in effect, <i>whichever is later</i> <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
18-07-69279 Rev. 0	<p>Medicaid Provider Audits</p> <p>Records relating to audits of Medicaid providers conducted by the Health Care Authority. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final reports of audits and examinations; • Audit strategies and procedures performed; • Audit evidence • Related correspondence/communications. 	<p>Retain for 6 years after final audit report date <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62473 Rev. 1	<p>Prepayment Review – Recipient Files</p> <p>Documentation of compliance regarding provider billing relating to Medicaid.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Prepayment reviews; • Recipient complaints. <p><i>Note: Replaced DAN 80-10-26153 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after resolution of issue <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62480 Rev. 0	<p>Utilization Review – Provider Files</p> <p>Documents review of provider services per federal requirements for Medicaid program compliance.</p> <p><i>Note: Replaced DAN 80-10-26150 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62474 Rev. 0	<p>Utilization Review – Recipient Files</p> <p>Documents review of recipients per federal requirements for Medicaid program compliance.</p> <p><i>Note: Replaced DAN 80-10-26151 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after claim resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

5. LEGAL SERVICES

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62508 Rev. 3	<p><i>Health Care Authority Hearings and Appeals</i></p> <p>Provides documentation of Health Care Authority fair hearings/appeals for all Health Care Authority providers/insurers on issues relating to medical services, third party liability and insurance, medical eligibility and policy, restrictive documents coupons and disability.</p> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <i>Hospital Reimbursement – Under Appeal (DAN 11-08-62491);</i> <i>Professional Reimbursement – Under Appeal (DAN 11-08-62495).</i> <p><i>Note: Replaced DAN 93-06-52548 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after final decision or completion of judicial review</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

6. OFFICE OF MEDICAL MANAGEMENT

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62498 Rev. 0	<i>Alien Emergency Medical (AEM) Eligibility</i> Provides documentation for Alien Emergency Medical (AEM) clients as approved by Health and Recovery Services Administration (HRSA) Medical Consultants. <i>Note: Replaced DAN 08-01-61701 granted to the Department of Social and Health Services.</i>	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
11-08-62499 Rev. 1	<i>Authorization for Treatment Outside Regular Criteria</i> Files on treatment that are exception to policy and do not meet regular criteria. Includes, but is not limited to: <ul style="list-style-type: none"> • Justifications and limited extensions; • Chart notes, medical documents; • Physical therapy, surgeries, maternal nutrition, hearing, vision; • CAT scans, dental, and long term home care files; • AEM authorizations and treatments. <i>Note: Replaced DAN 97-10-58169 granted to the Department of Social and Health Services.</i>	Retain for 7 years after biennium <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
11-08-62500 Rev. 2	<i>Dental Program Files</i> Documentation pertaining to the operation of the dental program. Includes, but is not limited to: <ul style="list-style-type: none"> • Medical documentation, x-rays; • Justification for dentures; • Letters, approvals, and denials. <i>Note: Replaced DAN 81-MF-26893 granted to the Department of Social and Health Services.</i>	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62502 Rev. 1	<p>Long Term Acute Care Records</p> <p>Provides documentation for long term acute care.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Approvals of admissions to Kindred and Regional Hospitals; • Medical documents, correspondence for provider and clients denials. <p><i>Note: Replaced DAN 05-09-60983 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62504 Rev. 1	<p>Medicaid Vision Program</p> <p>Provides documentation pertaining to the operation of the vision program.</p> <p><i>Note: Replaced DAN 81-MF-86890 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
11-08-62505 Rev. 1	<p>Pharmacy Authorization Files</p> <p>Provides documentation for Medicaid client files used for pharmacy authorizations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Medical information used to determine medical necessity; • Justifications by the drug utilization team; • Denials/extension/exceptions, notifications. <p><i>Note: Replaced DAN 05-09-60984 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62503 Rev. 1	<p><i>Physical Medicine and Rehabilitation Records</i></p> <p>Provides documentation of requests and approvals for medical rehabilitation services and patient progress.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests and denials for medical rehabilitation services and patient progress; • Medical, patient, and provider documents. <p><i>Note: Replaced DAN 81-02-26894 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 7 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62506 Rev. 1	<p><i>Provider Contract Terminations and Hearings</i></p> <p>Documentation to substantiate cutbacks and/or denials for provider reviews in regard to services required.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Due process documents, clinical reviews and client records; • Correspondence related to Contract Provider Agreements (CPA). <p><i>Note: Replaced DAN 85-03-35114 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM

7. PUBLIC EMPLOYEES BENEFITS BOARD (PEBB)

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47423 Rev. 1	<i>Applications for Insurance – Dependents</i> Provides a record of applications for approval and periodic recertification as insurance dependents. Includes, but is not limited to: <ul style="list-style-type: none"> • Parent/Disabled/Foster Dependents. 	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
98-11-58893 Rev. 1	<i>Case Management Files – Uniform Medical Plan (UMP)</i> Medical records of enrollees from UMP that are on case management.	Retain for 3 years after action on claim resolved <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM
12-06-68277 Rev. 0	<i>Enrollment Forms/Documentation/Reports</i> Provides a record of forms and requests of state employees, former-employees (that pay for their own Insurance), and non-state employees. Includes, but is not limited to: <ul style="list-style-type: none"> • Self-Pay Enrollment files; • Insurability/Claims control reports; • Political Subdivision and School District files; • Medical Insurance Reports; • Life Insurance; • LTD (Long Term Disability). 	Retain for 8 years after termination of coverage <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47430 Rev. 1	Health Participation Statistics Provides a record of the demographics for each medical/dental plan. Includes, but is not limited to: <ul style="list-style-type: none"> Form B1110971-01. 	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
91-02-47419 Rev. 0	Life Insurance Claims Provides a record of life insurance claims filed with the carrier.	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
91-02-47429 Rev. 1	Subscriber/Termination Summary Reports Provides a record by county of the number of subscribers and dependents. Includes, but is not limited to: <ul style="list-style-type: none"> Forms B0527R01, B111075201, and B0593R01; Additions, deletions and changed transactions; Dependent children who have been terminated due to reaching the plans age limit. 	Retain for 6 years after expiration of register <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
13-03-68438 Rev. 0	Uniform Medical Plan (UMP) Claims Claim documents from providers, filed with the Uniform Medical Plan (UMP) for payment. Includes, but is not limited to: <ul style="list-style-type: none"> Medicaid/Medicare request for reimbursements; Provider reconsiderations. 	Retain for 7 years after claim payment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

8. SYSTEMS AND MONITORING

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62486 Rev. 1	<p><i>Disproportionate Share Hospital Files</i></p> <p>Non-payment client eligibility documents, sent to provider to ensure dates of service and client services match provider files for Title XIX Medicaid Patient Identification Code (PIC) match.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Disproportionate Share Hospital (DSH) and Certified Public Expenditure (CPE) hospital applications; Audit and settlement documents for DSH, CPE and Nursing Home Proshare programs. <p><i>Note: Replaced DAN 06-02-61106 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>
11-08-62477 Rev. 1	<p><i>Federal Reports</i></p> <p>Federal reports required by Centers for Medicare and Medicaid Services (CMS).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Early and Periodic Screening, Diagnosis, and Treatment Program (EPSDT); IRS 1099 and Annual Managed Care; Quarterly Children's Health Program and the Quarterly Medicaid Children's Report. <p><i>Note: Replaced DAN 80-10-26094 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after federal fiscal year <i>then</i> Destroy.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62479 Rev. 1	<p>Managed Care Monitoring and Reporting Files</p> <p>Provide a record of expenditures and utilizations relating to medical assistance programs. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Statistical Report on Medical (501W); • Statistical Report on Recipient Characteristics (502W); • Statistical Report on Institutional Care (503W); • Statistical report on Physician's Visits (504W); • Statistical Report on Payments to Aged/Disabled (505W); • Lag Adjustment Report; • Pending Not Paid Report; • Expenditure and Utilization Report; • Other federal and state reports as required/necessary. <p><i>Note: Internally referred to as MARS (Management and Administrative Reporting System).</i> <i>Note: Replaced DAN 80-10-26146 and DAN 82-07-30093 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 3 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
14-12-68712 Rev. 0	<p>Managed Care Performance Reports</p> <p>Documentation received from all service contracting entities for the purpose of achieving outcomes (Performance Measures) described in RCW 70.320.020 and 70.320.030(1) for clients enrolled in medical managed care programs that operate according to Title XIX or XXI of the federal Social Security Act. Includes, but not limited to:</p> <ul style="list-style-type: none"> • Mental Health; • Chemical Dependency Treatment Services. 	<p>Retain for 6 years after final report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14-03-68497 Rev. 0	<p>Medicaid Adjustments</p> <p>Documentation received by the Health Care Authority for adjustments on claims in the Medical Management Information System (MMIS)/ProviderOne system for Medicaid clients.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Help desk tickets. 	<p>Retain for 5 years after ticket closes</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
11-08-62483 Rev. 0	<p>Medical Services Verifications</p> <p>Verifications of services received by Medical Assistance recipients.</p> <p><i>Note: Replaced DAN 83-12-33275 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
11-08-62481 Rev. 0	<p>Prepayment Review – Provider Files</p> <p>Program surveillance and monitoring per federal requirements for Medicaid program compliance.</p> <p><i>Note: Replaced DAN 80-10-26152 granted to the Department of Social and Health Services.</i></p>	<p>Retain for 6 years after resolution of issue</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

9. LEGACY RECORDS

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

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

GLOSSARY

Appraisal

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

Archival (Appraisal Required)

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

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

Archival (Permanent Retention)

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

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

Disposition

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

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

Disposition Authority Number (DAN)

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

Essential Records

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

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

Non-Archival

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

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

Non-Essential Records

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

OFM (Office Files and Memoranda)

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

RCW 40.14.010 – Definition and classification of public records.

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

OPR (Official Public Records)

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

RCW 40.14.010 – Definition and classification of public records.

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

Public Records

RCW 40.14.010 – Definition and classification of public records.

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

Records Series

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

State Records Committee

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

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

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