
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 (SGRRS)*, 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 previous versions of the State Government General Records Retention Schedule are revoked. State Agencies must ensure 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 2, 2021.

Signature on File

**For the State Auditor:
Al Rose**

Signature on File

**For the Attorney General:
Suzanne Becker**

-

**For the Office of Financial Management:
Gwen Stamey**

Signature on File

**The State Archivist:
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.
1.7	June 2, 2021	Minor revisions updating language to better describe records and sections. Addition of Drug Transparency Programs Records series. Revocation of four series no longer being created by agency.

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

TABLE OF CONTENTS

1. **BEHAVIORAL HEALTH RECORDS 5**

2. **ELIGIBILITY POLICY AND SERVICE DELIVERY 8**

3. **FINANCIAL SERVICES 9**

4. **HEALTH CARE SERVICES 14**

5. **LEGAL SERVICES 17**

6. **OFFICE OF MEDICAL MANAGEMENT 18**

7. **PUBLIC EMPLOYEE AND RETIREES BENEFITS (ERB) 21**

8. **SYSTEMS AND MONITORING 23**

9. **LEGACY RECORDS 26**

GLOSSARY 27

INDEXES 29

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>Retain for 5 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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>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>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>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>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 ESSENTIAL (for Disaster Recovery) 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>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
11-08-62466 Rev. 1	<p>Client Eligibility Files</p> <p>Medical eligibility records for Medical/Medicaid benefits.</p>	<p>Retain for 7 years after file is closed <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
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>Retain for 1 year after data entry accomplished <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OFM</p>

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>Retain for 6 years after end of Medicaid drug rebate program <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OFM</p>
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>Retain for 10 years after date of service <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62488 Rev. 1	<p>Federally Qualified Health Centers</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>Retain for 6 years after resolution of audit finding <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62509 Rev. 2	<p>Fee Schedules and Billing Instructions</p> <p>Provider guides used for billing covering physical and behavioral health services</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Published Billing Instructions; • Related Fee Schedule back-up material. 	<p>Retain for 6 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62489 Rev. 1	<p>First Steps Maternity Client Files</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>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
11-08-62491 Rev. 2	<p>Hospital Reimbursements – Under Appeal</p> <p>Supportive documentation for Medicaid reimbursement for hospital rates that are being held in anticipation of the ongoing appeal process.</p>	<p>Retain for 10 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-08-62490 Rev. 2	Hospital Settlement Files Cost settlement documentation for all hospital facilities including Critical Access hospitals. Includes but not limited to: <ul style="list-style-type: none"> Recoupment and/or payments. 	Retain for 10 years after date of settlement <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62493 Rev. 1	Medical Provider Rates Files 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: <ul style="list-style-type: none"> Drugs and eyeglasses; Durable medical equipment. 	Retain for 10 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62494 Rev. 1	Medicare Cost Claim Reports Cost reports used for hospital rate setting and reimbursement under Title XIX (Medicaid). Includes, but is not limited to: <ul style="list-style-type: none"> CMS 2552 cost reports. 	Retain for 10 years after claim resolved <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
18-07-69282 Rev. 0	Premium Payment Program (PPP) Client Reimbursement Files Records documenting payments to clients and the activities related to reimbursement of monthly premiums. Includes, but is not limited to: <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. 	Retain for 6 years after final payment to the client <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-07-69283 Rev. 0	Premium Payment Program (PPP) Cost Sharing Program Files Records documenting payments to clients and activities related cost-sharing. Includes, but is not limited to: <ul style="list-style-type: none"> Copies of the letters/correspondence sent to clients); Proof of payment (EOBs, receipts, credit card payments). 	Retain for 6 years after eligibility date of the client <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
11-08-62495 Rev. 1	Professional Reimbursement – Under Appeal Supportive documentation for reimbursement revolving around professional rates that are being held in anticipation of the on-going appeal process. Used for individual providers.	Retain for 10 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62496 Rev. 1	Prospective Payment System (PPS) Documentation 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.	Retain for 10 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
11-08-62497 Rev. 1	Third Party Liability (TPL) Cases and Payment Cards Documents payments to providers and activity related to cost avoidance/recovery for medical assistance recipients. Includes, but is not limited to: <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. 	Retain for 6 years after final payment <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
21-06-69630 Rev. 0	<p><i>Drug Transparency Program Records</i></p> <p>Records relating to data submission guides, data templates, data received by the agency from reporting entities, and information used to develop the annual report.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Published data submission guides; • Published data templates; • CSV files submitted by reporting entities. <p><i>Note: Data received by the agency from reporting entities is not subject to public disclosure as outlined in RCW 43.71C.100(6), except as described in RCW 43.71C.100(5).</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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></p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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</p> <p><i>then</i></p> <p>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>Retain for 6 years after resolution of issue <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
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>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
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>Retain for 6 years after claim resolved <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>

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>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.	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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. 	Retain for 7 years after biennium <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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. 	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) 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>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
11-08-62504 Rev. 1	<p>Medicaid Vision Program</p> <p>Provides documentation pertaining to the operation of the vision program.</p>	<p>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OFM</p>
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>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
11-08-62503 Rev. 1	<p>Physical Medicine and Rehabilitation Records</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>Retain for 7 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
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>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OFM</p>

7. PUBLIC EMPLOYEE AND RETIREES BENEFITS (ERB)

This section covers records relating to Public Employees and Retiree Benefit program of the Health Care Authority.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47423 Rev. 1	Applications for Insurance – Dependents Records relating to applications for approval and periodic recertification as insurance dependents, including extended/disabled dependents.	Retain for 7 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-06-68277 Rev. 0	Enrollment Forms/Documentation/Reports 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 (for Disaster Recovery) OFM
91-02-47430 Rev. 1	Health Participation Statistics Records relating to enrollment demographics for medical, vision, and dental plans. Includes, but is not limited to enrollment report records.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47429 Rev. 1	<p><i>Subscriber/Termination Summary Reports</i></p> <p>Provides a record by county of the number of subscribers and dependents. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Additions, deletions and changed transactions; • Dependent children who have been terminated due to reaching the plans age limit. 	<p>Retain for 6 years after expiration of register <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>

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>Retain for 10 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>(for Disaster Recovery)</p> <p>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>Retain for 6 years after federal fiscal year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>ARCHIVAL</p> <p>(Appraisal Required)</p> <p>NON-ESSENTIAL</p> <p>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 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></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 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 <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
11-08-62483 Rev. 0	<p>Medical Services Verifications</p> <p>Verifications of services received by Medical Assistance recipients.</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OFM</p>
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>Retain for 6 years after resolution of issue <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>

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
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.	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 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.

INDEXES

ARCHIVAL RECORDS INDEX

See the State Government General Records Retention Schedule for additional "Archival" records.

SYSTEMS AND MONITORING

Federal Reports 23

ESSENTIAL RECORDS INDEX

See the State Government General Records Retention Schedule for additional "Essential" records.

BEHAVIORAL HEALTH RECORDS

Background Checks on Applicants for Concealed Weapons Permits and Firearms
Dealer's Licenses 5
Offender Reentry Community Safety (ORCS) Program Files 7

ELIGIBILITY POLICY AND SERVICE DELIVERY

Background Check/Applications/Agreements 8
Managed Care Organizarions 8

FINANCIAL SERVICES

Drug Rebate Reports 9
Drug Transparency Program Records 13
First Steps Maternity Client Files 10
Hospital Reimbursements – Under Appeal 10
Medicare Cost Claim Reports 11
Premium Payment Program (PPP) Client Reimbursement Files 11
Premium Payment Program (PPP) Cost Sharing Program Files 12
Prospective Payment System (PPS) Documentation 12
Third Party Liability (TPL) Cases and Payment Cards 12

HEALTH CARE SERVICES

Basic Health Plan (BHP) Enrollment and Account Maintenance 14

HIPAA Privacy Documentation 15
Utilization Review – Recipient Files 16

OFFICE OF MEDICAL MANAGEMENT

Alien Emergency Medical (AEM) Eligibility 18
Authorization for Treatment Outside Regular Criteria 18
Dental Program Files 18
Long Term Acute Care Records 19
Pharmacy Authorization Files 19
Physical Medicine and Rehabilitation Records 19
Provider Contract Terminations and Hearings 20

PUBLIC EMPLOYEE AND RETIREES BENEFITS (ERB)

Enrollment Forms/Documentation/Reports 21
Health Participation Statistics 21
Subscriber/Termination Summary Reports 22

SYSTEMS AND MONITORING

Disproportionate Share Hospital Files 23
Medicaid Adjustments 25
Medical Services Verifications 25
Prepayment Review – Provider Files 25

DISPOSITION AUTHORITY NUMBERS (DAN'S) INDEX

11-08-62466..... 8	11-08-62490..... 11	11-08-62505..... 19	18-07-69277..... 6
11-08-62467..... 8	11-08-62491..... 10	11-08-62506..... 20	18-07-69278..... 15
11-08-62473..... 16	11-08-62493..... 11	11-08-62508..... 17	18-07-69279..... 15
11-08-62474..... 16	11-08-62494..... 11	11-08-62509..... 10	18-07-69280..... 6
11-08-62477..... 23	11-08-62495..... 12	12-06-68275..... 14	18-07-69281..... 7
11-08-62479..... 24	11-08-62496..... 12	12-06-68276..... 9	18-07-69282..... 11
11-08-62480..... 16	11-08-62497..... 12	12-06-68277..... 21	18-07-69283..... 12
11-08-62481..... 25	11-08-62498..... 18	14-03-68496..... 8	21-06-69630..... 13
11-08-62483..... 25	11-08-62499..... 18	14-03-68497..... 25	91-02-47423..... 21
11-08-62486..... 23	11-08-62500..... 18	14-06-68524..... 26	91-02-47429..... 22
11-08-62487..... 9	11-08-62502..... 19	14-12-68712..... 24	91-02-47430..... 21
11-08-62488..... 10	11-08-62503..... 19	18-07-69275..... 5	
11-08-62489..... 10	11-08-62504..... 19	18-07-69276..... 5	

INDEX: SUBJECTS

Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.

A

alien emergency medical (AEM) eligibility	18
applications for insurance, dependents.....	21
audits	
Medicaid providers.....	15
authorization for treatment outside regular criteria	18

B

background checks, concealed weapons and firearms	5
basic health plan (BHP), enrollment and account maintenance.....	14

C

client eligibility files	8
compliance files, behavioral health and recovery	5
concealed weapons and firearms, background checks	5
continuing education units (CEU)	6

D

dangerous mentally ill, mental health services	7
dental program files.....	18

dependents, applications for insurance.....	21
disproportionate share hospital files	23
drug rebate reports.....	9
drug transparency.....	13
durable medical equipment (DME) program.....	9

E

enrollment, PEBB	21
------------------------	----

F

federal reports	23
federally qualified health centers	10
first steps maternity client files	10

H

health participation statistics.....	21
hospital reimbursements, appeal	10
hospital settlement files	11

L

long term acute care records.....	19
-----------------------------------	----

M

managed care	
monitoring/reporting	24
organizations	8
maternity client files, first steps	10
Medicaid	
provider audits	15
vision program.....	19
medical provider rates files.....	11
medical services verifications	25
medicare cost claim reports	11
mental health services, dangerous mentally ill	7
mental health, resident assessments	6

O

offender reentry community safety program.....	7
--	---

P

pharmacy authorization files	19
physical medicine and rehabilitation records	19
premium payment program	11, 12
prepayment review, provider files.....	25
prepayment review, recipient files	16
professional reimbursement, appeal.....	12
prospective payment system documentation	12

provider contract terminations and hearings..... 20

S

subscriber/termination summary reports 22

T

third party liability (TPL) cases and payment cards 12
training, continuing education documentation 6

U

utilization review, provider files 16
utilization review, recipient files..... 16