

SUMMARY OF CHANGES

To better assist local government agencies in the retention, destruction, and transfer of their public records, Washington State Archives is continuing to implement improvements to records retention schedules.

All *previously approved* disposition authorities for records that are covered by the *Health Departments and Districts Records Retention Schedule Version 4.0* are **revoked**, including those listed in all general **and** agency unique retention schedules. Agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

This revision guide has been prepared as a helpful tool for agency staff. It highlights changes to records retention requirements as approved by the Local Records Committee on August 20, 2015 pursuant to RCW 40.14.070. **This guide is NOT the records retention schedule, itself.** Rather, it is provided as a “crosswalk” to be used while transitioning from the previous version (4.0) to the *current, approved* version (4.1).

In addition to updating the format and other “housekeeping matters”, many changes are based on input, feedback, and requests from Health Department and District staff, and county records managers. Because the changes are of a minor nature and mostly for clarification/accuracy, Washington State Archives prepared the updates without convening an *official* reference group. And please note that every *records series* was not reviewed or analyzed. A future revision project will include a review of each records series as well as discussions about gaps and possible redundancies. In the meantime:

- ✓ Entire retention schedule format modernized to align with the other local government retention schedules.
- ✓ 2 new series added to cover environmental monitoring of non-agency assets *for public health purposes* and environmental laboratory testing offered *as a service to the general public*.
- ✓ 17 records series updated, corrected and/or enhanced to provide clarity, accuracy, and user ease.
- ✓ 1 records series discontinued (HE2011-041, **A-19 Billing Requests**) because the records are covered by existing series in the [Local Government Common Records Retention Schedule \(CORE\)](#).

Note: **CORE** = Local Government Common Records Retention Schedule
DAN = Disposition Authority Number

NEW RECORDS SERIES

Note: These two new series provide disposition authority for certain records held by many agencies. While they do not cover all existing environmental laboratory records, they address two gaps.

Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Environmental Health Mgmt: Auditing and Inspection	Environmental Monitoring (Agency Jurisdiction)	HE2015-001 Rev. 0 p. 12	Retain for 6 years after hazard/nuisance resolved (if identified) and monitoring discontinued then Contact Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	Provides specific disposition authority for records relating to monitoring areas within the agency's jurisdiction <i>for public health purposes</i> . (Excludes monitoring of agency assets, which is covered in <i>CORE</i> .)
Environmental Health Mgmt: Testing and Analysis	Environmental Testing (Service to Public)	HE2015-002 Rev. 0 p. 24	Retain for 6 years after results provided to requestor <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	Provides specific disposition authority for environmental laboratory records where testing is completed <i>as a service</i> to the public (and not on behalf of the agency).

DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANS)

HE2011-041 has been discontinued; the records are covered by existing records series in the [Local Government Common Records Retention Schedule \(CORE\)](#).

Discontinued DAN Ver 4.0	Version 4.0 Title	Version 4.0 Retention	Local Gov't Common Records Retention Schedule (CORE) DAN	CORE Ver. 3.1 Title	CORE Ver. 3.1 Retention and Disposition	Rationale
HE2011-041 Ver. 4.0 p. 44	A-19 Billing Requests	Retain for 6 years after date submitted then Destroy.	CORE p. 90 GS2011-184	Financial Transactions – Bond, Grant and Levy Projects	Retain for 6 years after final bond payment or 6 years after completion of levy/ grant project or terms of grant agreement, whichever is later then Destroy	Most purchase and sales documentation is covered by one of these two <i>CORE</i> series. <i>Exceptions (grants, capital assets, etc.) are covered by more specific records series. Please read exclusions.</i>
			CORE p. 91 GS2011-183	Financial Transactions – General	Retain for 6 years after end of fiscal year then Destroy.	

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE2011-001 Ver. 4.0 p.5 Ver. 4.1 p.5	Client Relations	Retain for 8 years after inquiry/ complaint/grievance then Destroy.	No change	Retain for 8 years after inquiry/complaint/ grievance matter resolved then Destroy.	More precisely defined retention cut-off language.
HE2011-002 Ver. 4.0 p. 6 Ver. 4.1 p. 6	Client Accidents/ Incidents – No Claim Filed (Age 18 and Older)	Retain for 8 years after date of accident/injury then Destroy.	No change	No change	Corrected CORE DAN reference in 2 nd exclusion: “Accidents/Incidents involving non-clients covered by CORE series GS2010-081.”
HE2011-005 Ver. 4.0 p.7 Ver. 4.1 p.7	Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information	Retain until destruction of protected health information subject to change(s) then Destroy.	Health Insurance Portability and Accountability Act (HIPAA) – Amendments to Protected Health Information	Retain until destruction of protected health information subject to amendment(s) then Destroy.	Provided clarifying language to title, description, and retention cut-off, as well as examples of the types of records covered by this series.
HE55-01F-04 Ver. 4.0 p.17 Ver. 4.1 p.18	Burial/ Cremation/ Transit Permits	Retain for 1 year after expiration of permit then Transfer to WSA for appraisal and selective retention.	No change	No change	Enhanced description to specifically include <i>notices of removals</i> .
HE55-01D-06 Ver. 4.0 p.18 Ver. 4.1 p. 19	Food Borne Illness Complaints and Investigations	Retain until no longer needed for agency business then transfer to WSA (for permanent retention).	No change	Retain for 6 years after matter settled then Destroy	Designation changed to NON-ARCHIVAL. Summary reports submitted to WA State Department of Health are designated ARCHIVAL in DOH’s agency schedule. Detailed complaint and investigation records have been determined to not have historical value by WSA.

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Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE55-01C-02 Ver. 4.0 p. 31 Ver. 4.1 p. 29	Screening and Referral Logs	Retain for 2 years after screening/referral then Destroy.	Screening and Referral	No change	Enhanced series title and description to make more inclusive (and not cover solely logs). Added exclusion for <i>Client Medical Records covered by HE55-01B-01 and/or HE2011-030</i> .
HE55-01D-04 Ver. 4.0 p.32 Ver. 4.1 p. 32	Master Patient Index	Retain until destruction of pertinent medical record then Transfer to WSA for appraisal and selective retention.	Master Client/Patient Index	No change	Added "Client" to title for uniformity ; enhanced description for precision.
HE55-01B-01 Ver. 4.0 p. 35 Ver. 4.1 p. 33	Client Medical Records – Age 18 and Over	Retain for 8 years after last provision of health-related services then Destroy.	No change	No change	Added bulleted item to include <u>Expedited Partner Therapy</u> (EPT) prescription records for unknown partners who are not clients of the agency . (If the partner is "known", then these records would be covered the same as for any other client.)
HE2011-030 Ver. 4.0 p. 36 Ver. 4.1 p. 20	Client Medical Records – Under Age 18	Retain for 8 years after last provision of health-related services and 3 years after client attains age 18 then Destroy.	No change	No change	See Centers for Disease Control and Prevention website at: http://www.cdc.gov/std/ept/default.htm
HE2011-031 Ver. 4.0 p. 36 Ver. 4.1 p. 33	Client Medical Records – Disclosure Authorized	Retain for 1 year after receipt of authorization to disclose then Destroy.	No change	No change	Citation corrected. Disclosure authorization regulated by <u>RCW 70.02.030</u> .
HE2011-039 Ver. 4.0 p. 41 Ver. 4.1 p. 37	Emergency Detention Orders	Retain for 3 years after expiration of order then Transfer to WSA for appraisal and selective retention.	No change	No change	Citation corrected. <u>WAC 246-100-040</u> regulates procedures for isolation or quarantine.

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Version 4.0		Version 4.1			
DAN	Title	Retention	Title (If different)	Retention & Disposition (if different)	Change and/or rationale
HE55-01D-05 Ver. 4.0 p.42 Ver. 4.1 p. 38	Epidemiologic Investigations and Reports	Retain for 6 years after date of record or report <i>then</i> Transfer to WSA for appraisal and selective retention.	No change	No change	Modified description to clarify that this series does <u>NOT</u> cover individual client treatment records. (See Client Medical Records).
HE55-01D-13 Ver. 4.0 p. 43 Ver. 4.1 p. 64	Sexually Transmitted Disease Case Reports	Retain for 2 years after final report activity <i>then</i> Transfer to WSA for appraisal and selective retention.	No change	No change	Modified description to clarify that this series does <u>NOT</u> cover individual client treatment records. (See Client Medical Records).
HE2011-051 Ver. 4.0 p. 49 Ver. 4.1 p. 64	Client Profile and Medication Records – Age 18 and Over	Retain for 8 years after date of last dispensing activity <i>then</i> Destroy.	No change	No change	Enhanced description for clarity.
HE2011-052 Ver. 4.0 p. 50 Ver. 4.1 p. 64	Client Profile and Medication Records – Age 18 and Over	Retain for 8 years after date of last dispensing activity <i>then</i> Destroy.			
HE2011-070 Ver. 4.0 p. 59 Ver. 4.1 p. 52	Institutional Review Boards – Principal Investigator Records	Retain for 6 years after completion of research <i>then</i> Destroy.	No change	No change	Updated exclusion(s) for records relating to grants.
HE2011-071 Ver. 4.0 p.60 Ver. 4.1 p. 53	Institutional Review Boards (IRBs) – Research Conducted	Retain for 3 years after completion/ termination of research <i>then</i> Arrange for appraisal and selective retention by WSA.	No change	No change	Records documenting all resources received and expended by the agency for grant-funded projects are covered by CORE series GS2011-183, Financial Transactions (Bond, Grant and Levy Projects) .

For assistance and advice in applying records retention schedules,
please contact Washington State Archives at:
recordsmanagement@sos.wa.gov
or contact your Regional Archivist.