



This schedule applies to: Public Health Departments and Districts

Scope of records retention schedule

This records retention schedule covers the public records of **public health departments and districts** relating to the functions of agency management, asset management, environmental health management, health care and treatment, human resource management, pharmacy management, research, and vital statistics management. It is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

All current approved records retention schedules can be accessed online at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule 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 local 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 approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies 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 **Local Records Committee** in accordance with RCW 40.14.070 on January 27, 2011.

Signature on File

For the Attorney General: Cindy Evans

Signature on File

For the State Auditor: Mark Rapozo

Signature on File

The State Archivist: Jerry Handfield



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 1999	Initial version.
2.0	July 2001	Major revision.
3.0	March 26, 2009	Name changed from “ <i>Health Districts and Departments</i> ” to “ <i>Health Departments and Districts</i> ”. Records series common to all local government agencies now appear in the new <i>Local Government Common Records Retention Schedule (CORE)</i> and have been removed from this schedule. All Disposition Authority Numbers (DANs) in the <i>Health Departments and Districts Records Retention Schedule</i> now begin with the prefix “HE”; there have been no changes to titles, descriptions, retention periods, or archival designations.
4.0	January 27, 2011	<p>Revision of entire schedule, including series titles, descriptions, retention periods, and archival designations. Entire schedule has been reorganized and restructured. The “Secondary Copy” and “Remarks” columns have been removed and the entire schedule has been reformatted. Records series common to all local government agencies and covered by the <i>Local Government Common Records Retention Schedule (CORE)</i> have been removed.</p> <p>The following records series have been discontinued in version 4.0 of the <i>Public Health Departments and Districts Records Retention Schedule</i> and disposition authority for them is pending in revisions to the <i>Local Government Common Records Retention Schedule (CORE)</i>: HE55-01A-09 and HE55-01C-13.</p>

For assistance and advice in applying this records retention schedule,

please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.



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SUPERSEDED



1. AGENCY MANAGEMENT

The function relating to the overarching management of agency business and its general administration. Also includes management of the agency's interaction with the community, and legal matters.

See CORE's **AGENCY MANAGEMENT – Risk Management/Insurance** function for additional records relating to risk management.

1.1 COMMUNITY RELATIONS

The activity of the local government agency interacting with its community.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	Crisis Lines Records relating to phone calls received by the agency through a crisis phone line. <i>Note: WAC 388-865-0452(7) requires the retention of records documenting crisis phone contacts.</i>	HE2011-000 Rev. 0	Retain for 6 years after date of contact <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.1.2	Client Relations Records relating to the agency's interactions with clients or their representatives, such as inquiries, complaints, and grievances. Includes, but is not limited to: <ul style="list-style-type: none">Inquiries/complaints/grievances received (such as environmental health complaints, etc.);Documentation of agency response(s). Excludes HIPAA-related complaints covered by HE2011-006.	HE2011-001 Rev. 0	Retain for 8 years after inquiry/complaint/grievance <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



1.2 QUALITY ASSURANCE AND COMPLIANCE

The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.1	<p>Client Accidents/Incidents – No Claim Filed (Age 18 and Older)</p> <p>Records relating to accidents/incidents involving clients age 18 and older in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03.</p> <p>Excludes accidents/incidents involving non-clients covered by GS50-06C-03.</p> <p>Excludes client accident/incident reports – no claim filed (under age 18) covered by HE2011-003.</p>	HE2011-002 Rev. 0	Retain for 8 years after date of accident/injury <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.2.2	<p>Client Accidents/Incidents – No Claim Filed (Under Age 18)</p> <p>Records relating to accidents/incidents involving clients younger than age 18 in the course of receiving health-related services, and where claims for damages are <u>not</u> expected or likely to be filed. Includes, but is not limited to, reports and investigations.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03.</p> <p>Excludes client accident/incident reports – no claim filed (age 18 and older) covered by HE2011-002.</p> <p>Excludes accidents/incidents involving non-clients covered by GS50-06C-03.</p>	HE2011-003 Rev. 0	Retain for 8 years after injury/accident <i>and</i> 6 years after juvenile attains age 18 <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.3	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Accountings of Disclosure</p> <p>Records of client requests for accountings of protected health information disclosures performed by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Requests to inspect or obtain copies of any protected health information;• Documentation of clients taking exception to information in their records with which they disagree, and/or request corrections;• Disclosures of individuals' protected health information made by the agency or its business associates. <p><i>Note: 45 CFR 164.528(a) requires the documentation of disclosures of protected health information and allows individuals to request such accountings for six years after the date of request.</i></p>	HE2011-004 Rev. 0	Retain for 6 years after date of disclosure <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.2.4	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information</p> <p>Records relating to amendments or corrections made by the agency to an individuals' protected health information.</p>	HE2011-005 Rev. 0	Retain until destruction of protected health information subject to change(s) <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



1.2 QUALITY ASSURANCE AND COMPLIANCE

The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.5	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Complaints</p> <p>Records generated during the agency's internal processing of complaints of alleged HIPAA violations received and/or evaluated by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Complaints received;• Complaints submitted by workforce members;• Complaints submitted by clients;• Background materials pertaining to complaints received;• Agency responses to complaints;• Complaint logs. <p><i>Note: 45 CFR 164.530(j)(2) requires the retention of documentation relating to HIPAA-related complaints for six years.</i></p>	HE2011-006 Rev. 0	Retain for 6 years after final resolution <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.2.6	<p>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Sanctions to Workers</p> <p>Records relating to sanctions applied to workers for non-compliance with privacy policies or procedures.</p>	HE2011-007 Rev. 0	Retain for 6 years after fulfillment of sanction <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.2.7	<p>Major Incident Reviews</p> <p>Records relating to events identified as major or significant incidents by the agency for the purposes of improving future responses and to identify training or safety issues for incorporation into training procedure.</p>	HE2011-008 Rev. 0	Retain for 8 years after date of incident <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



1.2 QUALITY ASSURANCE AND COMPLIANCE

The activity of enacting policies and procedures in an effort to achieve compliance with quality assurance laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.8	Medical Staff Credentialing/Privileging Records relating to credentialing or privileging of medical staff including reviews of practitioners' qualifications and practice history, determinations and restrictions of privileges, certifications and licensing, peer certifications and evaluations, and quality improvement documentation. Excludes personnel records covered by GS50-04B-06. <i>Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners.</i>	HE2011-009 Rev. 0	Retain for 8 years after termination of employment <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
1.2.9	Release of Information Logs Logs documenting the release/disclosure of health information by the agency.	HE2011-010 Rev. 0	Retain for 6 years after date of entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
1.2.10	Standard of Care Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions.	HE2011-011 Rev. 0	Retain for 8 years after obsolete or superseded <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.). Includes asset acquisition, maintenance, inventory, and disposal.

See CORE's **Asset Management** function for additional records relating to asset management.

2.1 MAINTENANCE

The activity of repairing or servicing the assets of the local government agency. Includes building, vehicles, and equipment.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.1	Clinical Instrument Studies Records relating to clinical laboratory instrument studies. <i>Note: WAC 246-338-070 requires the retention of records relating to instrument/method validation studies for the life of the instrument/method plus 2 years.</i>	HE55-02H-01 Rev. 1	Retain for 2 years after disposal of instrument <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
2.1.2	Radiation Instrument Calibration (Drinking Water) Calibration data and maintenance of radiation instruments and analytical balances used to analyze drinking water. <i>Note: The Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter VI, page VI-8 requires the permanent retention of records documenting calibration data and maintenance records on all radiation instruments and analytical balances.</i>	HE2011-012 Rev. 0	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
2.1.3	Sterilizer Spore Tests Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030(11)(d). <i>Note: WAC 246-145-030(11)(d) requires the retention of records relating to sterilizer testing for at least 3 years.</i>	HE2011-013 Rev. 0	Retain for 3 years after date of test <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3. ENVIRONMENTAL HEALTH MANAGEMENT

The function of enforcing laws and regulations and enacting measures to ensure environmental health.

3.1 AUDITING AND INSPECTION

The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.1	Business Registers Registers of business establishments that are subject to periodic inspections to evaluate compliance with applicable laws and regulations.	HE55-01J-05 Rev. 1	Retain until obsolete or superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
3.1.2	Condemnation/Demolition Orders Records relating to the demolition, decontamination, or disposal of a structure or vehicle by order of the agency in accordance with RCW 64.44.050. Excludes Hazardous Waste – Chemical Site Inspections covered by HE55-01M-02.	HE55-01J-04 Rev. 1	Retain for 6 years after date of order <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.1 AUDITING AND INSPECTION

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.3	<p>Facility Inspections (General)</p> <p>Records relating to the inspection of facilities or establishments where not covered by a more specific record series.</p> <p>Includes, but is not limited to inspections of the following:</p> <ul style="list-style-type: none">• Dairies, food, meat processing, and food establishments;• Living environments such as parks, recreational facilities, schools, and farmworker housing;• Spas, swimming beaches, and pools;• Sewers (public and private);• Schools. <p>Excludes solid waste facility inspections covered by HE55-01J-24.</p> <p>Excludes records relating to agency facility inspections covered by GS50-06B-27.</p>	HE55-02L-01 Rev. 1	Retain for 6 years after date of inspection <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.1.4	<p>Hazardous Waste – Business Audits</p> <p>Records relating to audits of businesses responsible for creating hazardous waste.</p>	HE55-01M-01 Rev. 1	Retain for 6 years after completion of audit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



3.1 AUDITING AND INSPECTION

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.5	Hazardous Waste – Chemical Site Inspections Records relating to the agency's inspection of chemical sites which may, or are known to, collect or create hazardous waste. Includes, but is not limited to: <ul style="list-style-type: none">Inspection documentation;Documentation of chemical site's corrective actions in response to inspections. Excludes hazardous materials abatement project files covered by GS50-19-10.	HE55-01M-02 Rev. 1	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
3.1.6	Hazardous Waste – Collector's Audits Records relating to inspections of hazardous waste collectors.	HE55-01M-03 Rev. 1	Retain for 6 years after completion of audit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.1.7	On-Site Sewage Systems – Maintenance and Inspection Records relating to reports received from maintenance, inspection, and pumping specialists, septic tank pumpers, or other servicers performing on-site sewage disposal system inspections.	HE2011-014 Rev. 0	Retain until notification that system has been decommissioned <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.1 AUDITING AND INSPECTION

The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.8	Planning Department Recommendations Records relating to reports, criteria, and recommendations developed by the agency for the local Planning Department on health-related issues.	HE55-01J-15 Rev. 1	Retain for 6 years after date of report or recommendation <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
3.1.9	Recreational Shellfish Beach Classifications Agency files on the annual classification/reclassification of recreational shellfish beaches based on the risk to public health from consuming shellfish.	HE2011-015 Rev. 0	Retain for 1 year after updated/superseded <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM
3.1.10	Sewage Treatment Site Inspections Records relating to the inspection of public and private sewage treatment sites. Includes documentation of any problems discovered during the course of investigation and related corrective action(s).	HE55-01J-21 Rev. 1	Retain for 50 years after closure of sewage treatment site <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



3.1 AUDITING AND INSPECTION

The activity of auditing and inspecting sites or facilities to monitor compliance with applicable laws and regulations.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.11	Solid Waste – Characterization and Disposal (General) Records relating to solid waste characterization advice provided by the agency where the waste <i>is not</i> determined to be hazardous waste.	HE2011-016 Rev. 0	Retain for 5 years after advice provided <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.1.12	Solid Waste – Characterization (Hazardous Waste) Records relating to solid waste characterization advice provided by the agency to other entities where the waste <i>is</i> determined to be hazardous waste.	HE55-01M-04 Rev. 1	Retain for 50 years after advice provided <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.1.13	Solid Waste – Facility Inspections Records relating to the permitting, inspection, and/or monitoring of solid waste disposal sites. Includes, but is not limited to: <ul style="list-style-type: none">• Incinerators;• Landfills;• Recycling facilities;• Sewage sludge sites;• Transfer stations. Excludes general facility inspections covered by HE55-02L-01.	HE55-01J-24 Rev. 1	Retain for the life of the facility <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
3.1.14	Vector/Pest Control Records relating to inspections for rodent and other types of pest infestations.	HE55-01K-05 Rev. 1	Retain for 6 years after date of inspection <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1.15	Water Well Reports Copies of water well reports submitted by well drillers to the Department of Ecology describing the location, ownership, construction details, and lithology of completed wells.	HE55-01J-26 Rev. 1	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED



3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.1	Building Plan Reviews Records relating to reviews of construction project plans for changes to facilities, new construction, or building alterations or additions in the agency's jurisdiction, including school construction/modification reviews performed in accordance with Chapter 246-366A WAC.	HE55-01J-01 Rev. 1	Retain for 6 years after completion of review <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2.2	Burial/Cremation/Transit Permits Permits issued for the burial, cremation, or transit of deceased individuals.	HE55-01F-04 Rev. 1	Retain for 1 year after expiration of permit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
3.2.3	Food and Beverage Service Permits – Denied Records relating to the denial of food and beverage service permits for which individuals in the agency have applied. Excludes food and beverage service permits for non-temporary establishments covered by HE55-02L-02. Excludes food and beverage service permits for temporary establishments covered by HE55-02L-03.	HE55-02L-04 Rev. 1	Retain for 1 year after date of denial <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



3.2 LICENSING AND PERMITTING

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.4	Food and Beverage Service Permits – Non-Temporary Establishments Records relating to the permitting of food and/or beverage service establishments in the agency. Includes permits and related records. Excludes denied food and beverage service permits covered by HE55-02L-04. Excludes food and beverage services permits for temporary establishments covered by HE55-02L-03.	HE55-02L-02 Rev. 1	Retain for 6 years after close of establishment <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
3.2.5	Food and Beverage Service Permits – Temporary Establishments Records relating to the issuance of food and beverage service permits to workers in the agency. Includes permits and related records. Excludes denied food and beverage service permits covered by HE55-02L-04. Excludes food and beverage service permits for non-temporary establishments covered by HE55-02L-02.	HE55-02L-03 Rev. 1	Retain for 6 years after expiration of permit <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM
3.2.6	Food Borne Illness Complaints and Investigations Records relating to food borne illness complaints received and any resultant agency response or investigation.	HE55-01D-06 Rev. 1	Retain for 6 years after matter settled <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR



3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.7	Food Worker Permits Records relating to the issuance of food worker permits in accordance with Chapter 246-217 WAC.	HE55-02L-06 Rev. 1	Retain until expired or superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM
3.2.8	Hazardous Waste – Permits Records relating to permits for the disposal of contaminated soils and/or other industrial waste. Includes, but is not limited to: <ul style="list-style-type: none">• Permit application materials;• Correspondence.	HE2011-017 Rev. 0	Retain for 50 years after expiration of permit <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR
3.2.9	Inter and Disinter Permits Records relating to the issuance of permits for the interment or disinterment of deceased persons.	HE55-01F-09 Rev. 1	Retain for 6 years after expiration of permit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.10	Licenses Issued Registers Registers of licenses issued by the agency.	HE55-01A-10 Rev. 1	Retain for 6 years after expiration of last license listed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
3.2.11	On-Site Sewage Systems – Permits Records relating to permits for the installation, repair, alteration, or expansion of an on-site sewage system. Includes, but is not limited to: <ul style="list-style-type: none">• Approved, denied, and lapsed permits;• Percolation tests and soil probes;• Permit application materials;• Waivers granted.	HE55-01J-18 Rev. 1	Retain until notification that system has been decommissioned <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR
3.2.12	Permit and Approval Summaries Summaries of permits and approvals granted by the agency.	HE55-01J-13 Rev. 1	Retain for 6 years after expiration/termination of permit or approval <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



3.2 LICENSING AND PERMITTING

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.13	<p>Permits and Approvals Records relating to permits and approvals issued by the agency <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Animal shelters, stables, stockyards, and zoonotic licensing;• Camps (summer, labor, penal, church, etc.);• Dairies and food processing plants;• Garbage/recycling vehicles;• Gas piping and plumbing;• Hospitals, nursing homes, boarding homes, and dormitories;• Hotels and resorts;• Pest control companies;• Schools;• Solid/hazardous waste recycling events.	HE55-01J-14 Rev. 1	Retain for 6 years after expiration of permit/approval <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2.14	<p>Solid Waste – Closed Landfills Records relating to the closed landfill sites.</p>	HE55-01J-02 Rev. 1	Retain for 50 years after site closure <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR



3.2 LICENSING AND PERMITTING

The activity of licensing and permitting establishments or activities, and monitoring compliance with local, state, and federal licensing or permitting requirements.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.2.15	Water Recreation Facility Permits Permits issued by agency for the construction of water recreation facilities. Includes, but is not limited to: <ul style="list-style-type: none">• Application form(s);• Pertinent plans and specifications submitted with application.	HE2011-018 Rev. 0	Retain for 3 years after expiration <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
3.2.16	Water Supply System Permits Records relating to the permitting and ongoing inspection of public and/or private water supply systems. Includes, but is not limited to documentation relating to: <ul style="list-style-type: none">• Distribution systems;• Filtering;• Treatment installations;• Water quality analysis.	HE55-01J-25 Rev. 1	Retain for the life of the agency <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.1	<p>Drinking Water – Laboratory Assessments/Certification Reviews</p> <p>Records relating to on-site laboratory assessments and/or certification program reviews of labs that analyze drinking water.</p> <p><i>Note: The Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter III, page III-9 requires the retention of records relating to laboratory assessments and on-site certification reviews for at least 6 years to include the last two on-site audits.</i></p>	HE2011-019 Rev. 0	Retain for 6 years after completion of assessment/review <i>and</i> until completion of two subsequent audits <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
3.3.2	<p>Drinking Water – Radionuclide Analysis of Compliance</p> <p>Records relating to radionuclide analyses of compliance samples.</p> <p><i>Note: The Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter IV, page IV-12 requires the retention of records relating to radionuclide analyses of compliance samples for 10 years (see 40 CFR 141.33).</i></p>	HE2011-020 Rev. 0	Retain for 10 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.3	<p>Laboratory Quality Assurance and Control (Environmental Lab)</p> <p>Records relating to quality assurance testing and control activities in environmental labs, including labs that analyze drinking water.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Documentation of analytical methods;• Instrument calibrations;• Proficiency testing;• Method detection limit studies;• Method validation studies.	HE2011-021 Rev. 0	<p>Retain for 10 years after conclusion of analysis/testing/calibration <i>or</i> until completion of Dept. of Ecology audit, whichever is sooner <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.4	<p>Public Water Systems – Analysis for Lead/Copper</p> <p>Records relating to the testing of water samples from public water systems for lead and copper.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Instrument logs;• Sample collection and control documentation;• Raw data and calculations;• Quality control data. <p>Excludes bacteriological and turbidity analyses covered by HE2011-023.</p> <p>Excludes chemical analyses covered by HE2011-024.</p> <p>Excludes general public water system analyses covered by HE55-02H-03.</p> <p><i>Note: The Environmental Protection Agency's Manual for the Certification of Laboratories Analyzing Drinking Water (5th Edition) Chapter IV, page IV-9 requires the retention of records relating to chemical analyses for lead and copper for twelve years (see 40 CFR 141.91).</i></p>	HE2011-022 Rev. 0	Retain for 12 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.5	<p>Public Water Systems – Bacteriological and Turbidity Analyses</p> <p>Records relating to bacteriological and turbidity analyses of Group A and/or Group B public water systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Instrument logs;• Sample collection and control documentation;• Raw data and calculations;• Quality control data. <p>Excludes analyses for lead/copper covered by HE2011-022.</p> <p>Excludes chemical analyses covered by HE2011-024.</p> <p>Excludes general public water system analyses covered by HE55-02H-03.</p> <p><i>Note: WACs 246-290-480(1)(a) and 246-291-260(1)(a) require the retention of bacteriological and turbidity analysis results for 5 years.</i></p>	HE2011-023 Rev. 0	Retain for 5 years after completion of analysis <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.6	<p>Public Water Systems – Chemical Analyses</p> <p>Records relating to chemical analyses of Group A and/or Group B public water systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Instrument logs;• Sample collection and control documentation;• Raw data and calculations;• Quality control data. <p>Excludes analyses for lead/copper covered by HE2011-022.</p> <p>Excludes bacteriological and turbidity analyses covered by HE2011-023.</p> <p>Excludes general public water system analyses covered by HE55-02H-03.</p> <p><i>Note: WACs 246-290-480(1)(a) and 246-291-260(1)(a) require the retention of chemical analysis results for as long as the system is in operation.</i></p>	HE2011-024 Rev. 0	Retain for the life of the public water system <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.7	<p>Public Water Systems – General</p> <p>Records relating to the analysis of Group A and/or Group B public water systems <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Instrument logs;• Sample collection and control documentation;• Raw data and calculations;• Quality control data. <p>Excludes analyses for lead/copper covered by HE2011-022.</p> <p>Excludes bacteriological and turbidity analyses covered by HE2011-023.</p> <p>Excludes chemical analyses covered by HE2011-024.</p>	HE55-02H-03 Rev. 1	Retain for 5 years after conclusion of analysis <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
3.3.8	<p>Sample Management</p> <p>Records relating to the management and tracking of samples received by the environmental laboratory for testing or analysis.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Chain of custody documentation;• Sample receipt documentation.	HE2011-025 Rev. 0	Retain for 10 years after conclusion of sample testing <i>then</i> Destroy	NON-ARCHIVAL NON-ESSENTIAL OPR



3.3 TESTING AND ANALYSIS

The activity of testing and analyzing environmental samples.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.3.9	<p><i>Effluent/Discharge Monitoring Data and Supporting Documentation</i></p> <p>Records relating to the monitoring of sites or locations that discharge pollutants or effluents, including data and site monitoring support documentation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Biosolid testing (e.g. land application);• Field/remote testing;• Industrial pre-treatment monitoring;• Solid waste testing;• Wastewater treatment monitoring (operational monitoring, etc.).	HE2011-026 Rev. 0	Retain for 10 years after testing completed <i>and</i> until fulfillment of retention requirement(s) specified on discharge permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4. HEALTH CARE AND TREATMENT

The function relating to the assessment, diagnosis, and treatment of clients.

4.1 ASSESSMENT AND REFERRAL

The activity of assessing clients' health care needs and referring them to health care providers outside of the agency, when appropriate.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.1.1	Encounter Forms/Fee Sheets Records documenting services or procedures provided to clients and pertinent coding or billing information associated with services provided.	HE2011-027 Rev. 0	Retain for 6 years after provision of health-related services <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.1.2	HIV Test Reports Records relating to non-identifiable client HIV test reports received from the Department of Health lab.	HE55-01D-07 Rev. 1	Retain for 2 years after date of receipt <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.1.3	Referrals Records relating to individuals referred to the agency from private practices or other agencies, or by the agency for services from non-agency providers. Includes maternal referrals.	HE55-01C-16 Rev. 1	Retain for 2 years after date of referral <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.1 ASSESSMENT AND REFERRAL

The activity of assessing clients' health care needs and referring them to health care providers outside of the agency, when appropriate.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.1.4	<p>Screening and Referral Logs</p> <p>Logs documenting summary information about the screening of clients for medical conditions and subsequent results, diagnosis, recommendation, and/or referral information.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Alcoholism screening records;• Cancer screening records;• Cardiac screening and suspect logs;• Dental health screening;• Diabetes screening and suspect logs;• Glaucoma screening and suspect logs;• Hypertension screening and suspect logs;• Sexually transmitted disease screening logs;• Pregnancy logs and testing.	HE55-01C-02 Rev. 1	Retain for 2 years after screening/referral <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.2 CLIENT ADMINISTRATION

The activity of administering health care and treatment services provided for clients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.2.1	Master Patient Index Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital. <i>Note: The American Health Information Management Association (AHIMA) recommends the permanent retention of the master patient index.</i>	HE55-01D-04 Rev. 1	Retain until destruction of pertinent medical record <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
4.2.2	Operative Indexes Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information. <i>Note: The American Health Information Management Association (AHIMA) recommends the retention of operatives indexes for 10 years.</i>	HE2011-028 Rev. 0	Retain for 10 years after date of entry <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM



4.3 CLIENT BILLING

The activity of billing clients for services rendered.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.3.1	<i>Client Billing and Financial Assistance</i> Records relating to billing of insurance and third party payers for the provision of medical services. Includes, but is not limited to: <ul style="list-style-type: none">• Applications for financial assistance;• Client eligibility documentation;• DSHS pre-authorizations;• Client refunds.	HE55-01C-14 Rev. 1	Retain for 6 years after final account activity <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.3.2	<i>Clinical Resource Management/Utilization Review</i> Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity.	HE2011-029 Rev. 0	Retain for 8 years after completion of utilization review <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.3.3	<i>Department of Social and Health Services Billing</i> Records relating to claims billed to the Department of Social and Health Services, regardless of whether the claim has been paid or denied. Includes, but is not limited to: <ul style="list-style-type: none">• Medical assistance remittances;• Status reports;• Claim documents.	HE55-01A-06 Rev. 1	Retain for 6 years after expiration of Department of Social and Health Services contract <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.3 CLIENT BILLING

The activity of billing clients for services rendered.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.3.4	Financial Assessments Records relating to the assessment of clients' financial resources and their ability to fund medical treatment, including patient eligibility records.	HE55-01A-03 Rev. 1	Retain for 6 years after date of assessment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED



4.4 CLIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of clients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.4.1	<p>Client Medical Records – Age 18 and Over</p> <p>Records created by the public health agency on a per-client basis to document health care services provided to clients age 18 and over.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC);• Medication administration records;• Client treatment history;• Dental records. <p>Excludes mental health counseling records covered by HE2011-032.</p> <p>Excludes radiologic reports covered by HE2011-034.</p> <p>Excludes client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031.</p>	HE55-01B-01 Rev. 1	Retain for 8 years after last provision of health-related services <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



4.4 CLIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of clients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.4.2	<p>Client Medical Records – Under Age 18</p> <p>Records created by the public health agency on a per-client basis to document health care services provided to clients under age 18.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Clinical assessment and treatment records (including alcohol treatment, child care, child neglect or abuse, children with special needs, dental health, dental sealant treatment, diabetes treatment, family practice and planning, general clinical services, immunizations, maternal health, methadone treatment, phenylketonuria, rheumatic fever, STDs, tuberculosis, well child, and WIC);• Medication administration records;• Client treatment history;• Dental records. <p>Excludes mental health counseling records covered by HE2011-032.</p> <p>Excludes radiologic reports covered by HE2011-034.</p> <p>Excludes client medical records for which a disclosure authorization has been made in the final year of retention covered by HE2011-031.</p>	HE2011-030 Rev. 0	Retain for 8 years after last provision of health-related services <i>and</i> 3 years after client attains age 18 <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
4.4.3	<p>Client Medical Records – Disclosure Authorized</p> <p>Client medical records for which a disclosure has been authorized in accordance with RCW 70.02.040.</p> <p><i>Note: RCW 70.02.160 requires the retention of existing health care information for at least one year following receipt of an authorization to disclose that health care information.</i></p>	HE2011-031 Rev. 0	Retain for 1 year after receipt of authorization to disclose <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



4.4 CLIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of clients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.4.4	<p>Counseling</p> <p>Records relating to the provision of mental health counseling and services on a per-client basis by a licensed mental health counselor.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Counseling notes and summaries;• Prescriptions. <p>Excludes client medical records for which a disclosure authorization has been made in the final year of retention, covered by HE2011-031.</p> <p><i>Note: WAC 246-809-035(4) requires the retention of all records relating to counseling services billed to a third-party payer for 5 years following the client's last visit.</i></p>	HE2011-032 Rev. 0	Retain for 5 years after client's last visit <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
4.4.5	<p>Interpretation Requests</p> <p>Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p>	HE2011-033 Rev. 0	Retain until added to client's medical record.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.4.6	<p>Radiologic Reports</p> <p>Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images where the radiologist's final report has been added to the client medical record.</p> <p><i>Note: 42 CFR 482.26(d)(2) requires the retention of radiologic reports and printouts for 5 years.</i></p>	HE2011-034 Rev. 0	Retain for 5 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.4 CLIENT MEDICAL RECORDS

The activity of managing documentation relating to the assessment and treatment of clients.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.4.7	Staff Signature Lists Records documenting the signatures of staff who sign charts and other documentation relating to the provision of health-related services on behalf of the agency.	HE2011-035 Rev. 0	Retain for 8 years after obsolete or superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED



4.5 CLINICAL LABORATORY

The activity of performing laboratory analysis to determine a medical diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.5.1	<p>Quality Assurance/Control (Clinical Laboratory) Records relating to quality assurance and control testing/validations performed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Performance specifications;• Requisitions;• Instrument documentation;• Specimen identification and tracking records. <p><i>Note: WAC 246-338-070 requires the retention of records relating to clinical quality assurance and control records for 2 years.</i></p>	HE55-02H-02 Rev. 1	Retain for 2 years after completion of testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.5.2	<p>Specimen Testing (Clinical Laboratory) Records relating to the clinical testing of specimens in agency laboratories.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Accession/test logs;• Test requisitions (or equivalent);• Test records and reports. <p><i>Note: WAC 246-338-070 requires the retention of clinical lab records and reports for 2 years.</i></p>	HE2011-036 Rev. 0	Retain for 2 years after completion of testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.5 CLINICAL LABORATORY

The activity of performing laboratory analysis to determine a medical diagnosis.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.5.3	Test Procedures Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105. <i>Note: WAC 246-338-070, the Clinical Laboratory Improvement Amendments (CLIA), and the College of American Pathologists require or recommend the retention of test procedures for 2 years.</i>	HE2011-037 Rev. 0	Retain for 2 years after procedure has been discontinued <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.5.4	Test Reports – General Reports and results for specimens tested at a clinical laboratory and where not covered by a more specific series. <i>Note: WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years.</i>	HE2011-038 Rev. 0	Retain for 2 years after examination of slide <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION

The activity of responding to potential and confirmed infectious or communicable disease threats.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.6.1	Animal Bites and Treatment Records relating to animal bites reported to the agency, or to agency treatment of animals that potentially pose a threat to human health and safety.	HE55-01D-01 Rev. 1	Retain for 6 years after last action <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.6.2	Case and Contact Registers – Sexually Transmitted Diseases Registers, logs, or other summary records documenting clients who are carriers of sexually transmitted diseases.	HE55-01D-12 Rev. 1	Retain for 2 years after date of entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.6.3	Case and Contact Registers – Tuberculosis Registers, logs, or other summary records documenting active and/or inactive tuberculosis cases in the agency.	HE55-01D-15 Rev. 1	Retain for 10 years after date of entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.6.4	Emergency Detention Orders Records relating to emergency detention orders issued for the purposes of isolation or quarantine in accordance with RCW 70.41.220.	HE2011-039 Rev. 0	Retain for 3 years after expiration of order <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION

The activity of responding to potential and confirmed infectious or communicable disease threats.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.6.5	<i>Emergency Incident Response</i> Records relating to the agency's response to health emergencies (such as H1N1) and its coordination or involvement in such response. Includes, but is not limited to: <ul style="list-style-type: none">• Staff badging and credentialing information;• Correspondence;• Incident action plans and other planning and procedures developed on an incident-specific basis;• Staff schedules and station assignments;• Update ("situation") reports for internal and/or public use.	HE2011-040 Rev. 0	Retain for 8 years after provision of last incident-related services <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
4.6.6	<i>Epidemiologic Investigations and Reports</i> Records and reports pertaining to disease outbreak, response, treatment methods, demographic and diagnostic data.	HE55-01D-05 Rev. 1	Retain for 6 years after date of record or report <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
4.6.7	<i>Positive Culture Notifications</i> Notifications received from laboratories regarding positive cultures and preliminary test results for certain diseases and conditions pursuant to WAC 246-101-210.	HE55-01D-14 Rev. 1	Retain for 2 years after date of notification <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.6 INFECTIOUS AND COMMUNICABLE DISEASE CONTROL AND PREVENTION

The activity of responding to potential and confirmed infectious or communicable disease threats.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.6.8	<i>Sexually Transmitted Disease Case Reports</i> Case reports detailing the diagnosis, progress, demographic, and location information on sexually transmitted diseases reported to and/or treated by the agency.	HE55-01D-13 Rev. 1	Retain for 2 years after final report activity <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
4.6.9	<i>Typhoid Fever Carriers</i> Records relating to individuals known to carry typhoid fever, including signed carrier agreements.	HE55-01D-18 Rev. 1	Retain for 6 years after death of carrier <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.6.10	<i>Vaccine Information Statements</i> The agency's master copy of Department of Health informational statements given to parents of children being vaccinated.	HE55-01C-18 Rev. 1	Retain until obsolete or superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.7 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS

The activity of managing and administering public health WIC programs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.7.1	A-19 Billing Requests Records relating to A-19 billing requests submitted by local agencies to the State WIC Office for expenses incurred.	HE2011-041 Rev. 0	Retain for 6 years after date submitted <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.2	CIMS (Client Information Management System) Supplemental Documentation Supplemental documentation created by the local agency as supporting documentation to client files in the CIMS electronic system. Includes, but is not limited to: <ul style="list-style-type: none">• Prescription forms;• Rights and responsibilities forms;• Signature forms;• Signed check stubs;• Handwritten check receipts;• Signed transfer/Verification of Certification (VOC) stubs. <i>Note: The Washington State WIC Manual requires the retention of CIMS documents for 4 years.</i>	HE2011-042 Rev. 0	Retain for 4 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.7 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS

The activity of managing and administering public health WIC programs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.7.3	<p>Expenditure Reports</p> <p>Records relating to expenditure reports created by the local agency and submitted to the state WIC office.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Expenditure Report Total forms;• Supporting documentation. <p><i>Note: The Washington State WIC Manual requires the retention of expenditure reports for 4 years.</i></p>	HE2011-043 Rev. 0	Retain for 4 years after report submitted <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.4	<p>Ineligible Client Files</p> <p>Records relating to clients who have been determined to be ineligible to receive WIC program resources.</p> <p><i>Note: The Washington State WIC Manual requires the retention of ineligible client files for 4 years.</i></p>	HE55-01W-04 Rev. 1	Retain for 4 years after ineligibility determination <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.5	<p>Language Interpreter Usage Logs</p> <p>Logs documenting requests to outside vendors for translation support services in clinic operations.</p> <p><i>Note: The Washington State WIC Manual requires the retention of interpreter usage logs for 4 years.</i></p>	HE2011-044 Rev. 0	Retain for 4 years after date of last entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.7 WOMEN, INFANTS AND CHILDREN (WIC) PROGRAM OPERATIONS

The activity of managing and administering public health WIC programs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.7.6	Nutrition Education Plan Records relating to annual Nutrition Education Plans created by local agencies in accordance with 7 CFR 246.11(d). <i>Note: The Washington State WIC Manual requires the retention of nutrition education plans for 4 years.</i>	HE2011-045 Rev. 0	Retain for 4 years after date submitted to state WIC office <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.7	Terminated Client Files Records relating to client files for individuals whose program certification has been terminated. <i>Note: The Washington State WIC Manual requires the retention of terminated client files for 4 years.</i>	HE2011-045 Rev. 0	Retain for 4 years after termination <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.8	Time Studies Records relating to time studies and support documentation completed by the local agency for program resource planning and allocation. <i>Note: The Washington State WIC Manual requires the retention of time studies for 4 years.</i>	HE2011-047 Rev. 0	Retain for 4 years after study completed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.7.9	Waiting Lists Lists of individuals who are waiting to be accepted/certified into the WIC program. <i>Note: The Washington State WIC Manual requires the retention of waiting lists for 4 years.</i>	HE55-01W-10 Rev. 1	Retain for 4 years after date of last entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



5. HUMAN RESOURCE MANAGEMENT

The function of managing the local government agency's workforce, where not covered by the Local Government Common Records Retention Schedule (*CORE*).

5.1 PERFORMANCE MANAGEMENT

The activity of assessing and directing employee progress toward performance goals.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.1.1	Staff Plans/Schedules Records relating to staff plans and schedules for nursing staff, social workers and other medical staff. Excludes physician call schedules covered by HE2011-050.	HE2011-049 Rev. 0	Retain until completion of Joint Commission on Accreditation of Healthcare Organizations audit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.1.2	Physician Call Schedules Schedules documenting on-call schedules for hospital physicians. Excludes staff plans/schedules covered by HE2011-049. <i>Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules.</i>	HE2011-050 Rev. 0	Retain for 5 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



5.2 STAFF DEVELOPMENT/TRAINING

The activity of enhancing employees' competencies and skills through programs and training.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.2.1	<i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Training</i> Records relating to the provision of privacy/HIPAA training programs for agency employees. Includes, but is not limited to: <ul style="list-style-type: none">• Training development records;• Training handouts, worksheets, PowerPoint presentations, etc.	HE2011-048 Rev. 0	Retain for 6 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED



6. PHARMACY MANAGEMENT

The activity of operating a pharmacy and/or acquiring, distributing, or dispensing drugs.

6.1 CLIENT MANAGEMENT

The activity of providing for the accurate tracking and management of clients and their pharmacy needs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.1	<p><i>Client Profile and Medication Records – Age 18 and Over</i></p> <p>Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each client age 18 and over receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Client details;• Parenteral products dispensed;• Dates and details of dispensations;• Pharmacist identification;• Client notes, diagnoses, and conditions;• Prescription and refill records.	HE2011-051 Rev. 0	Retain for 8 years after date of last dispensing activity <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



6.1 CLIENT MANAGEMENT

The activity of providing for the accurate tracking and management of clients and their pharmacy needs.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.2	<p>Client Profile and Medication Records – Under Age 18</p> <p>Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each client under age 18 receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Client details;• Parenteral products dispensed;• Dates and details of dispensations;• Pharmacist identification;• Client notes, diagnoses, and conditions;• Prescription and refill records.	HE2011-052 Rev. 0	Retain for 8 years after client attains age 18 <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



6.2 INVENTORY/DISTRIBUTION

The activity of documenting the agency's inventory and/or distribution of pharmaceuticals.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.2.1	Drug Batch Data Records relating to data received from laboratories on drug batches. <i>Note: Excludes records relating to drug/vaccine accountability covered by DAN HE55-01D-03.</i>	HE2011-053 Rev. 0	Retain for 50 years after completion/cessation of batch distribution <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2.2	Inmate Medications Records documenting the provision of medications to inmates in jails or correctional facilities. Excludes inmate health records covered by LE15-01-25 and LE2010-034.	HE2011-054 Rev. 0	Retain for 8 years after date medication(s) provided <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2.3	Pharmaceutical Distribution Errors Records relating to drug distribution errors discovered and/or reported upon by the agency in accordance with WAC 246-873-080(11).	HE2011-055 Rev. 0	Retain for 8 years after date of error <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.2 INVENTORY/DISTRIBUTION

The activity of documenting the agency's inventory and/or distribution of pharmaceuticals.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.2.4	<p>Pharmaceutical Inventory Accountability</p> <p>Records relating to the pharmacy's acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Destruction records;• Dispensing registers and records/medication logs;• Clinic medication logs;• Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions, biologics inventory and distribution records);• Transfer records;• Vaccine sign out records;• Records of destruction as required by WAC 246-873-080(7)(e).	HE55-01C-12 Rev. 1	Retain for 6 years after date of destruction/disposition <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2.5	<p>Therapeutically Equivalent Drug Substitutions</p> <p>Records relating to authorizations for therapeutically equivalent drug substitutions in accordance with WAC 246-899-030(3).</p>	HE2011-056 Rev. 0	Retain for 10 years after last authorized dispensation <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



6.3 QUALITY ASSURANCE AND CONTROL

The activity of enacting policies, methods, and procedures to ensure the provision of quality drugs and medications.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.3.1	Pharmaceutical Complaints and Investigations Records of complaints regarding pharmaceutical products and related investigation records produced in accordance with WAC 246-895-060(8).	HE2011-057 Rev. 0	Retain for 2 years after distribution of drug has been completed <i>and</i> 1 year after expiration of drug <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
6.3.2	Pharmaceutical Recalls Records relating to the recall of pharmaceuticals which are, or have been, in the possession of the agency.	HE2011-058 Rev. 0	Retain for 8 years after last dispensation of drug <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.3.3	Pharmacy Policy, Procedure, and Training Manuals Manuals of pharmacy policies and procedures which ensure client health, safety, and welfare, as well as training manuals for pharmacy employees. <i>Note: WAC 246-871-050(4)(b) and (c) require the retention of pharmacy training, policy, and procedure manuals for 2 years.</i>	HE2011-059 Rev. 0	Retain for 2 years after superseded <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM



7. RESEARCH MANAGEMENT

The function of managing, or engaging in, research activities.

7.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.1	Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where a Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38.	HE2011-060 Rev. 0	Retain for 5 years after date on which Food and Drug Administration application or supplemental application is approved <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.1.2	Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved Reserve samples of any test articles and reference standards used in conducting in vivo or in vitro bioavailability/bioequivalence studies where no Food and Drug Administration application has been approved, retained in accordance with 21 CFR 320.63 or 320.38.	HE2011-061 Rev. 0	Retain for 5 years after date of completion of related bioavailability study <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.3	<p>Device Trials</p> <p>Records relating to investigational medical device clinical trials retained in accordance with 21 CFR 812.140.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">Investigator records of receipt, use, shipment, or disposition of an investigational device;Investigator protocols and documentation showing dates and reasons of deviation from protocol;Sponsor records of device shipment and disposition;Signed investigator agreements;Sponsor records concerning adverse device effects;Other records required to be maintained by the Food and Drug Administration. <p><i>Note: 21 CFR 812.140(d) requires the retention of device trial records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.</i></p>	HE2011-062 Rev. 0	Retain for 2 years after date investigation completed/terminated <i>and</i> 2 years after records are no longer required as supporting documentation for premarket approval application or a notice of completion of a product development protocol <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.1.4	<p>Trial Drug Management – Food and Drug Administration Application Approved</p> <p>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has been approved.</p> <p><i>Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a Food and Drug Administration marketing application is approved.</i></p>	HE2011-063 Rev. 0	Retain for 2 years after date marketing application is approved <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.5	<p><i>Trial Drug Management – No Food and Drug Administration Application Approved</i></p> <p>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has not been approved.</p> <p><i>Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for two years after shipment and deliver of the drug for investigational use is discontinued and the Food and Drug Administration has been notified.</i></p>	HE2011-064 Rev. 0	Retain for 2 years after investigation discontinued and Food and Drug Administration notified then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.1.6	<p><i>Investigators' Financial Interest</i></p> <p>Records relating to the financing of clinical investigations or bioequivalence studies from which data are intended to be submitted to the Food and Drug Administration as part of an application for market approval, retained in accordance with 21 CFR 320.36(b) or 21 CFR 54.6.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR 54.4(a)(3)(i);Records showing significant payments made by the sponsor to the investigator as described in 21 CFR 54.4(a)(3)(ii);Records showing financial interests held by clinical investigators as described in 21 CFR 54.4 (a)(3)(iii).	HE2011-065 Rev. 0	Retain for 6 years after date of application approval then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.7	<i>In Vivo/In Vitro Tests</i> Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product. <i>Note: 21 CFR 320.36(a) requires the retention of all records of in vivo or in vitro tests conducted on any marketed batch of a drug product for at least two years after the expiration date of the batch.</i>	HE2011-066 Rev. 0	Retain for 2 years after expiration date of the batch <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.1.8	<i>Subject Case Histories – Food and Drug Administration Application Filed</i> Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has been filed. Includes, but is not limited to: <ul style="list-style-type: none">• Case report forms and supporting data;• Signed and dated consent forms;• Medical records. <i>Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for two years following the date a Food and Drug Administration marketing applications is approved for the drug being investigated.</i>	HE2011-067 Rev. 0	Retain for 2 years after date marketing application is approved <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.1 CLINICAL TRIALS

The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1.9	<p>Subject Case Histories – No Food and Drug Administration Application Filed</p> <p>Records relating to individuals administered investigational drugs or employed as a control in a drug investigation for which a Food and Drug Administration application has not been filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Case report forms and supporting data;• Signed and dated consent forms;• Medical records. <p><i>Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for two years after the investigation is discontinued and the Food and Drug Administration is notified.</i></p>	HE2011-068 Rev. 0	Retain for 2 years after investigation discontinued and the Food and Drug Administration notified <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED



7.2 INSTITUTIONAL REVIEW BOARDS

The activity of operating, or having involvement with, an institutional review board.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.2.1	<p>Institutional Review Boards (IRBs) – General Board Records Records relating to Institutional Review Boards and their activities in the monitoring and oversight of human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• IRB review of research proposals and ongoing review activities;• Minutes of IRB meetings;• IRB member lists and credentialing. <p><i>Note: CFR 46.115(b) requires the retention of records relating to IRB activities for three years.</i></p>	HE2011-069 Rev. 0	Retain for 3 years after date of document <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
7.2.2	<p>Institutional Review Boards – Principal Investigator Records Records relating to investigator activities in human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Documentation of uses and disclosures;• Authorization/consent forms;• Business partner contracts;• Notices of practice• Responses to requests to amend or correct information;• Client statements of disagreements and complaints. <p>Excludes grant records covered under <i>CORE's Grants</i> activity.</p> <p><i>Note: 45 CFR 45.115 requires the retention of principal investigators' records for six years after completion of research.</i></p>	HE2011-070 Rev. 0	Retain for 6 years after completion of research <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



7.2 INSTITUTIONAL REVIEW BOARDS

The activity of operating, or having involvement with, an institutional review board.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.2.3	<p><i>Institutional Review Boards (IRBs) – Research Conducted</i></p> <p>IRB records which relate to specific research conducted or that document decisions pertaining to committee actions on research conducted.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Correspondence between the IRB and investigators/researchers;• Progress reports provided to IRB;• Reports of unanticipated problems involving risks to subjects or others;• Injury reports;• Significant new findings provided to subjects. <p>Excludes grant records covered under <i>CORE's Grants</i> activity.</p> <p><i>Note: 45 CFR 46.115(b) requires the retention of records relating to research conducted for three years after completion of research.</i></p>	HE2011-071 Rev. 0	<p>Retain for 3 years after completion/termination of research <i>then</i> Arrange for appraisal and selective retention by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



8. VITAL RECORDS MANAGEMENT

The function of managing vital records created by the agency.

8.1 CERTIFICATION

The activity of certifying vital events.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.1	Birth/Death Certificate Affidavits of Correction Affidavits related to requests received for the correction of information appearing on a birth or death record, including any attached original certificates or certificate copies.	HE55-01F-01 Rev. 1	Retain for 1 year after transmitted to Department of Health <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
8.1.2	Birth/Death Certificates – 1907 and Later Original birth certificates issued by the agency for live births, deaths, or fetal deaths in the local health jurisdiction.	HE55-01F-03 Rev. 1	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR
8.1.3	Certificate Request Logs Logs documenting requests received by the agency for birth, death, or other vital records certificates.	HE2011-072 Rev. 0	Retain for 2 years after date of entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
8.1.4	Certificate Requests Formal requests received for certified copies of birth or death certificates, or other vital records.	HE55-01F-02 Rev. 1	Retain for 2 years after date of request <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



8.1 CERTIFICATION

The activity of certifying vital events.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1.5	<i>Indexes to Vital Records</i> Indexes and other finding aids used to access vital records created by the agency, such as birth or death certificates.	HE55-01F-08 Rev. 1	Retain until the archival records are transferred to Washington State Archives <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR

SUPERSEDED



9. LEGACY RECORDS

The function of maintaining and preserving records no longer created and/or received by the agency but which may continue to be in the agency's possession.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.1.1	High Priority Infant Tracking Sheets Records relating to the tracking of high risk infants as part of Washington State's non-operational-High Priority Infant Tracking Project.	HE55-01G-02 Rev. 1	Retain for 8 years after close of file <i>then</i> Destroy	NON-ARCHIVAL NON-ESSENTIAL OPR
9.1.2	Passport Program Interagency Work Orders Records relating to work orders requesting healthcare assessments for Department of Social and Health Services foster children as part of the Passport Program.	HE55-01G-04 Rev. 1	Retain for 5 years after expiration of work order <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
9.1.3	Birth/Death Certificates – Pre-1907 Records relating to birth or death certificates issued by the agency prior to 1907.	HE2011-073 Rev. 0	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR



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 – See **Archival (Appraisal Required)** and **Archival (Permanent Retention)**.

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. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

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. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

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 Local Records Committee.



Essential Records

Public records that local 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. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

Local Records Committee

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

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.

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.



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.”

Permanent – See **Archival (Permanent Retention)** and **Non-Archival**.

Potentially Archival or **Potential Archival Value** – See **Archival (Appraisal Required)**.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

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.

Secondary Records

Copies (or duplicates) of the agency's primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.

Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.

Washington State Archives provides security microfilm storage and inspection services to local government agencies.

SUPERSEDED



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