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## **This schedule applies to: Public Hospital Districts**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of Public Hospital Districts relating to the functions of agency management, asset and infrastructure management, financial management, health care and treatment, laboratory and pathology management, patient/client account management, pharmacy, and research. The schedule is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which authorizes the destruction/transfer of public records common to all local government agencies.

### **Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of 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. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously 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 should take measures to 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 February 1, 2023.

*Signature on File*

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**For the State Auditor: Al Rose**

*Signature on File*

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**For the Attorney General: Matt Kernutt**

*Signature on File*

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**The State Archivist: Heather Hirota**



## REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	1980s	Initial version.
2.0	1999	Major revision.
3.0	2001	Major revision and update.
4.0	March 26, 2009	Record series common to all local government agencies now appear in the new Local Government Common Records Retention Schedule (CORE) and have been removed from this schedule. All Disposition Authority Numbers (DANs) in the Public Hospital Districts Records Retention Schedule now begin with the prefix "HO"; there have been no changes to titles, descriptions, retention periods, or archival designations.
5.0	March 31, 2011	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. Record series common to all local government agencies and covered by the Local Government Common Records Retention Schedule (CORE) have been removed.
5.1	December 7, 2022	Minor revisions throughout the schedule.
5.2	February 1, 2023	Minor revisions to the "Asset Management – Inventory" section.

For assistance and advice in applying this records retention schedule,  
please contact the Public Hospital District's Records Officer  
or Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)



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## 1. AGENCY ADMINISTRATION AND MANAGEMENT

This section includes records relating to agency administration and management that are either not covered by or are exceptions to the *Local Government Common Records Retention Schedule (CORE)*.

### 1.1 COMMUNITY AND EXTERNAL RELATIONS

*This section includes records relating to community and external relations that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03V-04 Rev. 2	<p><b>Patient Relations</b></p> <p>Records relating to the agency’s interactions with patients or their representatives, such as inquiries, complaints, and grievances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Inquiries/complaints/grievances received;</li> <li>• Documentation of agency response(s).</li> </ul> <p>Excludes records covered by <i>Health Insurance Portability and Accountability Act (H.I.P.A.A)</i> – <i>Complaints (DAN HO2011-112)</i>.</p>	<p><b>Retain</b> for 8 years after inquiry/complaint/grievance <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



## 2. ASSET MANAGEMENT

This section includes records relating to asset management that are either not covered by or are exceptions to the *Local Government Common Records Retention Schedule (CORE)*.

### 2.1 ACQUISITION AND DISPOSAL

*This section includes records relating to acquisition and disposal of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-10 Rev. 2	<b>Acceptance Testing</b> Records relating to purchase specifications and acceptance testing of diagnostic radiology equipment in accordance with 21 CFR 1000.55. <i>Note: Retention based on purchase specification and records of acceptance testing throughout the life of the equipment in accordance with 21 CFR 1000.55(c)(2).</i>	<b>Retain</b> until disposition of equipment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-075 Rev. 1	<b>Decay – Strontium-90</b> Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, in accordance with WAC 246-240-272. <i>Note: Retention based on requirement for records relating to the activity of strontium-90 sources used for ophthalmic treatments to be kept for the life of the source (WAC 246-240-602).</i>	<b>Retain</b> for the life of the source <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-074 Rev. 1	<b>Decay In Storage</b> Records relating to the disposal of radioactive materials due to decay in storage in accordance with WAC 246-240-128. <i>Note: Retention based on 3-year requirement relating to the disposal of decay-in-storage radioactive materials (WAC 246-240-584).</i>	<b>Retain</b> for 3 years after date of final disposal <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 2.1 ACQUISITION AND DISPOSAL

*This section includes records relating to acquisition and disposal of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-07 Rev. 2	<p><b>Radioactive Material – Disposal</b></p> <p>Records relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil.</p> <p><i>Note: Retention based on requirement for records relating to disposal of radioactive material be kept until termination of pertinent license or registration (WAC 246-221-230(8)(a)).</i></p>	<p><b>Retain</b> until termination of last pertinent license or registration</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 2.2 INVENTORY

*This section includes records relating to inventory of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03O-14 Rev. 3	<b>Mechanical Floor Stock Devices – Drug Removal</b> Records relating to the removal of drugs from mechanical floor stock devices.	<b>Retain</b> for 2 years after date of drug removal <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-08 Rev. 2	<b>Radiation Material – Acquisition/Transfer</b> Records relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material. <i>Note: Retention based on 3-year requirement in accordance with 10 CFR 30.51(a)(1) and (2).</i>	<b>Retain</b> for 3 years after disposal/transfer <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-076 Rev. 1	<b>Radiation Source Inventories</b> Records relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572. <i>Note: Retention based on 3-year requirement for records relating to physical inventories of sealed sources and brachytherapy sources (WAC 246-240-572).</i>	<b>Retain</b> for 3 years after date of inventory <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR





### 2.3 LEASING/USAGE

*The activity of acquiring or granting temporary authority to use goods, materials, or resources.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03X-01 Rev. 2	<b><i>In-Home Equipment</i></b> Records relating to the provision and maintenance of hospital-owned equipment used in patient residences. <i>Note: Retention based on 8-year statute of limitations for injuries resulting from health care (RCW 4.16.350).</i>	<b>Retain</b> for 8 years after equipment has been removed from patient residence <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**2.4 MAINTENANCE, INSPECTION, AND MONITORING**

*This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-077 Rev. 1	<b>Calibration – Brachytherapy Sources</b> Records relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269. <i>Note: Retention based on 3-year requirement for records relating to the calibration of brachytherapy sources before medical use (WAC 246-240-599).</i>	<b>Retain</b> for 3 years after last use of source <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-078 Rev. 1	<b>Calibration – Dosimetry Equipment</b> Records relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366. <i>Note: Retention based on requirements for records to be kept for the duration of the authorized user’s license (WAC 246-240-611).</i>	<b>Retain</b> for the duration of authorized user’s license <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-66 Rev. 1	<b>Calibration Expert Evaluations</b> Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital.	<b>Retain</b> for 5 years after expert’s performance of last full calibration <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-19 Rev. 1	<b>Calibration Instructions – Image Receptors</b> Records relating to calibration instructions for image receptor equipment.	<b>Retain</b> until disposition of image receptor <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## 2.4 MAINTENANCE, INSPECTION, AND MONITORING

This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-20 Rev. 2	<p><b>Equipment Calibration and Testing</b></p> <p>Records relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material, <b>where not covered by a more specific record series.</b></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Calibration of instruments used for quantitative radiation measurements in accordance with WAC 246-221-110(20);</li> <li>• Calibration of survey instruments in accordance with WAC 246-240-104;</li> <li>• Calibration of teletherapy units, remote afterloader units, and gamma stereotactic units in accordance with WAC 246-240-369;</li> <li>• Calibration of instruments used to measure the activity of unsealed radioactive material in accordance with WAC 246-240-101;</li> <li>• Records relating to testing of high radiation entry control devices in accordance with WAC 246-221-106(3).</li> </ul> <p><i>Note: Retention based on 3-year requirement for records relating to survey instrument calibration (WAC246-240-566); of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations (WAC 246-240-614); and for records relating to each calibration of instruments used to measure the activity of unsealed radioactive material (WAC 246-240-563).</i></p>	<p><b>Retain</b> for 3 years after date of calibration/test <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**2.4 MAINTENANCE, INSPECTION, AND MONITORING**

*This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03C-01 Rev. 2	<b>Equipment Sterilization/Infection Control</b> Records relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use. Excludes records covered by <i>Sterilizer Spore Tests (DAN HO2011-081)</i> .	<b>Retain</b> for 8 years after date of sterilization <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-079 Rev. 0	<b>Instructions – Manufacturer</b> Instructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a).	<b>Retain</b> for duration of source use <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-080 Rev. 1	<b>Instructions/Procedures – Radiation Protection</b> Written procedures, safety instructions, and/or operating procedures for remote afterloader units, teletherapy units, and/or gamma stereotactic radiosurgery units as described in WACs 246-240-360(1)(d) and 246-240-360(4)(b). <i>Note: Retention based on requirement for records relating to written procedures, safety instructions, and operating procedures for remote afterloader units, teletherapy units, and gamma stereotactic radiosurgery units be kept until disposition of the unit (WAC 246-240-608).</i>	<b>Retain</b> for 3 years after disposition of equipment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR
HO55-03L-46 Rev. 2	<b>Radiation Machine Registrations</b> Records relating to the registration of radiation machines with the Department of Health in accordance with chapter 246-224 WAC.	<b>Retain</b> for 6 years after termination of registration <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR



**2.4 MAINTENANCE, INSPECTION, AND MONITORING**

*This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-081 Rev. 1	<b><i>Sterilizer Spore Tests</i></b> Records relating to spore tests performed on sterilization equipment in accordance with WAC 246-145-030(11)(d). <i>Note: Retention based on 3-year requirement for records relating to sterilizer testing (WAC 246-145-030(11)(d)).</i>	<b>Retain</b> for 3 years after date of test <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-082 Rev. 1	<b><i>Surveys – Treatment Equipment</i></b> Records relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390. <i>Note: Retention based on requirement for records relating to radiation surveys of treatment units for the duration of use of the unit (WAC 246-240-629).</i>	<b>Retain</b> for the duration of the use of the treatment unit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-64 Rev. 1	<b><i>Teletherapy Calibration Calculations</i></b> Records relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy.	<b>Retain</b> until termination of equipment license <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-69 Rev. 2	<b><i>Teletherapy Five-Year/Source Replacement Inspections</i></b> Records relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393. <i>Note: Retention based on requirement for records relating to five-year inspections for teletherapy and gamma stereotactic radiosurgery units be kept for the duration of use of the unit (WAC 246-240-632).</i>	<b>Retain</b> for the duration of the use of the unit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**2.4 MAINTENANCE, INSPECTION, AND MONITORING**

*This section includes records relating to maintenance, inspection, and monitoring of assets that are either not covered by or are exceptions to the Local Government Common Records Retention Schedule (CORE).*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-68 Rev. 2	<p><b>Teletherapy Source Installation Surveys</b></p> <p>Records relating to radiation surveys of teletherapy sources prior to medical use and/or after each installation of a teletherapy source in accordance with 10 CFR 35.2605.</p> <p><i>Note: Retention based on requirements for records relating to teletherapy source installation radiation measurements be kept for the duration of the license in accordance with 10 CFR 35.2605.</i></p>	<p><b>Retain</b> until termination of equipment license <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-083 Rev. 1	<p><b>X-Ray/Electron Therapy Spot Checks</b></p> <p>Records relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130.</p> <p><i>Note: Retention based on requirements for records relating to spot checks of x-ray and electron therapy spot checks to be kept for one year or for twice as long as the spot check cycle, whichever is greater (WAC 246-225-130(2)(u)(iii)(H)).</i></p>	<p><b>Retain</b> for 1 year after completion of spot check <i>and</i> for twice as long as spot check cycle <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3. HEALTH CARE AND TREATMENT

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

#### 3.1 DIAGNOSTIC AND MEDICAL IMAGING

*The activity of imaging the human body for clinical assessment and/or diagnosis.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03S-01 Rev. 2	<p><b><i>Diagnostic Images – Age 18 and Older</i></b></p> <p>Records relating to tests, assessments, or examinations performed on patients age 18 or older in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Echocardiographs and electroencephalograms;</li> <li>• Evoked potential tests;</li> <li>• Fetal monitoring strips;</li> <li>• Hematology and cytology reports;</li> <li>• Nuclear images;</li> <li>• X-rays and roentgenograms.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Graphs/tracings/images and physician’s interpretive reports that are part of the patient medical record covered by <i>Patient Medical Records – Age 18 and Over (DAN HO55-03I-07)</i>;</li> <li>• Records covered by <i>Mammography Films (DAN HO2011-085)</i>.</li> </ul>	<p><b>Retain</b> for 10 years after date of test or assessment <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.1 DIAGNOSTIC AND MEDICAL IMAGING

*The activity of imaging the human body for clinical assessment and/or diagnosis.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-084 Rev. 1	<p><b><i>Diagnostic Images – Under Age 18</i></b></p> <p>Records relating to tests, assessments, or examinations performed on patients under age 18 in the effort to diagnose illness or disease, which may take the form of graphs, images, tracings, observations, test results, video, or other records produced by diagnostic equipment.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Echocardiographs and electroencephalograms;</li> <li>• Evoked potential tests;</li> <li>• Fetal monitoring strips;</li> <li>• Hematology and cytology reports;</li> <li>• Nuclear images;</li> <li>• X-rays and roentgenograms.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Graphs/tracings/images and physician’s interpretative reports that are part of the patient medical record covered by <i>Patient Medical Records – Under Age 18 (DAN HO2011-101)</i>;</li> <li>• Records covered by <i>Mammography Films (DAN HO2011-085)</i>.</li> </ul>	<p><b>Retain</b> for 8 years after individual reaches age 18 <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR





### 3.1 DIAGNOSTIC AND MEDICAL IMAGING

*The activity of imaging the human body for clinical assessment and/or diagnosis.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-085 Rev. 1	<p><b>Mammography Films</b></p> <p>Patient mammography films crated by the agency.</p> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Patient Medical Records – Age 18 and Over (DAN HO55-031-07);</i></li> <li>• <i>Patient Medical Records – Under Age 18 (DAN HO2011-101);</i></li> <li>• <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102).</i></li> </ul> <p><i>Note: Retention based on requirements relating to mammogram film records set by the Mammography Quality Standards Act (MQSA) Title 42, Chapter 6A, Subchapter II, Part F, subpart 3 (f)(G)(i)(I).</i></p>	<p><b>Retain</b> for 5 years after date of mammogram</p> <p><i>and</i></p> <p>10 years after patient’s last mammogram performed at the facility</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO2011-086 Rev. 1	<p><b>Radiologic Reports</b></p> <p>Records relating to reports and printouts created by radiologists in the course of examining and assessing radiological images.</p> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Patient Medical Records – Age 18 and Over (DAN HO55-031-07);</i></li> <li>• <i>Patient Medical Records – Under Age 18 (DAN HO2011-101);</i></li> <li>• <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102).</i></li> </ul> <p><i>Note: Retention based on 5-year requirements for radiologic reports and printouts in accordance with 42 CFR 482.26(d)(2).</i></p>	<p><b>Retain</b> for 5 years after date of report/printout</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



### 3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

*The activity of managing long term care or nursing home programs and facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-087 Rev. 1	<b>Drug Logs – Therapeutic Leave</b> Logs documenting the provision of prescription drugs to residents for consumption during leave away from the long term care/nursing facility.	<b>Retain</b> for 8 years after date of last entry <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03R-04 Rev. 2	<b>Emergency Kit Drugs</b> Records relating to the receipt and removal of drugs in emergency kits maintained by long term care/nursing facilities.	<b>Retain</b> for 6 years after date of receipt/removal <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-088 Rev. 1	<b>Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over</b> Records created by nursing home facilities on a per-patient basis which document services provided to patients age 18 and over. Excludes records covered by <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102)</i> made in the final year of retention. <i>Note: Retention based on minimum 8-year following most recent discharge requirement for all records relating directly to the care and treatment of adults in accordance with RCW 18.51.300.</i>	<b>Retain</b> for 8 years after last discharge <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OFM



### 3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

*The activity of managing long term care or nursing home programs and facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-089 Rev. 1	<p><b>Long Term Care/Nursing Home Resident Medical Records – Under Age 18</b></p> <p>Records created by long term care facilities on a per-patient basis which document services provided to patients under age 18.</p> <p>Excludes records covered by <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102)</i> made in the final year of retention.</p> <p><i>Note: Retention based on the requirement nursing homes retain all records relating directly to the care and treatment of minors for no fewer than three years after reaching age of eighteen years, or ten years following such discharge, whichever is longer in accordance with RCW 18.51.300.</i></p>	<p><b>Retain</b> for 10 years after last discharge <i>and</i> 3 years after individual reaches age 18 <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OFM
HO55-03R-06 Rev. 1	<p><b>Persons Seeking Admission</b></p> <p>Records relating to individuals on waiting lists for admission to the long term care/nursing facility in accordance with WAC 388-97-0040(6), but who have not yet been admitted.</p>	<p><b>Retain</b> for 1 year after date of last activity <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-090 Rev. 1	<p><b>Resident Administration</b></p> <p>Records documenting summary patient information pertinent to the administration of long term care/nursing services, such as information relating to resident identification, family contacts, and financial details (i.e. “face sheets”).</p> <p>Excludes patient records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Long Term Care/Nursing Home Resident Medical Records – Age 18 and Over (DANHO2011-088);</i></li> <li>• <i>Long Term Care/Nursing Home Resident Medical Records – Under Age 18 (DAN HO2011-089).</i></li> </ul>	<p><b>Retain</b> for 1 year after death/discharge of resident <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

*The activity of managing long term care or nursing home programs and facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-091 Rev. 2	<b>Resident Censuses</b> Records documenting census information and statistics about long term care/nursing residents.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM
HO2011-092 Rev. 0	<b>Resident In/Out Logs</b> Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility.	<b>Retain</b> for 3 years after last entry <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.3 PATIENT ADMINISTRATION

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03B-02 Rev. 1	<b>Master Patient Index</b> 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>	<b>Retain</b> until destruction of pertinent medical record <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> (for Disaster Recovery) OPR
HO55-03I-02 Rev. 1	<b>Maternity Registers</b> Registers of maternity cases at the hospital.	<b>Retain</b> for 3 years after date of entry <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OFM
HO55-03M-01 Rev. 2	<b>Operative Indexes</b> Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information. <i>Note: Retention based on 10-year recommendation for operative indexes by the America Health Information management Association (AHIMA).</i>	<b>Retain</b> for 10 years after date of entry <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-03B-03 Rev. 1	<b>Patient Property</b> Records documenting property recovered from patients who are admitted into the hospital.	<b>Retain</b> for 3 years after patient discharge <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



### 3.3 PATIENT ADMINISTRATION

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-093 Rev. 0	<p><b><i>Operative Scheduling/Assignments</i></b></p> <p>Records relating to the scheduling and assignment of staff, equipment, or other medical resources for pre-operative, operative, or post-operative procedures performed by the hospital and/or its ancillary departments (e.g. perioperative services).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Anesthesia/activity logs;</li> <li>• Equipment schedules;</li> <li>• Medical, nursing, anesthesia, and support schedules;</li> <li>• Perfusion records.</li> </ul>	<p><b>Retain</b> for 8 years after date of operation <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-094 Rev. 0	<p><b><i>Referrals – To the Agency</i></b></p> <p>Pre-admission records relating to patients referred to the agency by outside providers.</p>	<p><b>Retain</b> until no longer needed for agency business <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-094 Rev. 0	<p><b><i>Referrals – Outside the Agency</i></b></p> <p>Records relating to agency referrals of patients to non-agency providers.</p>	<p><b>Retain</b> for 2 years after date of receipt <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.4 PATIENT BILLING

*The activity of billing patients for services provided by the hospital or its ancillary departments.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03Q-04 Rev. 1	<b>Clinical Resource Management/Utilization Review</b> Records relating to comparisons of medical resource requests to treatment guidelines, and resultant determinations of medical necessity.	<b>Retain</b> for 8 years after completion of utilization review <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-096 Rev. 0	<b>Cost/Fee Sheets</b> Records documenting services or procedures provided to patients and necessary coding or billing information associated with services provided.	<b>Retain</b> for 6 years after date service provided <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-097 Rev. 0	<b>Patient Billing and Financial Assistance</b> Records relating to the 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"> <li>• Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.);</li> <li>• Medicaid/Medicare billing and reimbursements;</li> <li>• Patient refunds.</li> </ul>	<b>Retain</b> for 6 years after final account activity <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**3.4 PATIENT BILLING**

*The activity of billing patients for services provided by the hospital or its ancillary departments.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-098 Rev. 0	<p><b><i>Uncompensated Care – Compliance</i></b></p> <p>Records documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510 (b).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 24 CFR 124.510(a)(i));</li> <li>• Accounts which clearly segregate uncompensated services from other accounts;</li> <li>• Copies of written determinations of eligibility under 42 CFR Part 124.507.</li> </ul>	<p><b>Retain</b> for 3 years after report submitted to Health and Human Services</p> <p><i>or</i></p> <p>180 days after close of Health and Human Services investigation, whichever is longer</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM





### 3.5 PATIENT MEDICAL RECORDS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-099 Rev. 1	<p><b>Counseling</b></p> <p>Records relating to the provision of mental health counseling and services on a per-patient basis by a licensed mental health counselor.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Counseling notes and summaries;</li> <li>• Prescriptions.</li> </ul> <p>Excludes records covered by <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102)</i> made in the final year of retention.</p> <p><i>Note: Retention based on 5-year requirement for all records relating to counseling services billed to a third-party payer following patient’s last visit (WAC 246-806-035(4)).</i></p>	<p><b>Retain</b> for 5 years after the patient’s last visit</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL</p> <p><b>ESSENTIAL</b></p> <p>(for Disaster Recovery)</p> <p>OFM</p>
HO55-03L-25 Rev. 1	<p><b>Interpretation Requests</b></p> <p>Records relating to requests received by the hospital to provide language interpretation during medical visits and/or consultations.</p>	<p><b>Retain</b> until added to the patient’s medical record</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>



### 3.5 PATIENT MEDICAL RECORDS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-100 Rev. 1	<p><b>Organ Transplants</b></p> <p>Records relating to the transplantation of organs, including records relating to potential donors, organs retrieved/received, transplant recipients, and other transplant-related matters.</p> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Patient Medical Records – Age 18 and Over (DAN HO55-03I-07);</i></li> <li>• <i>Patient Medical Records – Under Age 18 (DAN HO2011-101).</i></li> </ul> <p><i>Note: Retention based on 7-year requirement for records relating to organ transplants in accordance with 42 CFR 121.11(a)(2).</i></p>	<p><b>Retain</b> for 7 years after date of transplant procedure <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO55-03I-07 Rev. 2	<p><b>Patient Medical Records – Age 18 and Over</b></p> <p>Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients age 18 and over.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Diagnostic, medical, and/or imaging reports or interpretations;</li> <li>• Medication administration records;</li> <li>• Patient treatment history;</li> <li>• Psychology and psychiatric notes and summaries, and psychotherapy notes.</li> </ul> <p>Excludes records covered by <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102)</i> made in the final year of retention.</p>	<p><b>Retain</b> for 10 years after last provision of health-related services <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>



### 3.5 PATIENT MEDICAL RECORDS

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-101 Rev. 1	<p><b><i>Patient Medical Records – Under Age 18</i></b></p> <p>Records created by the hospital or its ancillary departments on a per-patient basis to document health care services provided to patients under age 18.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Diagnostic, medical, and/or imaging reports or interpretations;</li> <li>• Medication administration records;</li> <li>• Patient treatment history;</li> <li>• Psychology and psychiatric notes and summaries, and psychotherapy notes.</li> </ul> <p>Excludes records covered by <i>Patient Medical Records – Disclosure Authorized (DAN HO2011-102)</i> made in the final year of retention.</p>	<p><b>Retain</b> for 10 years after last provision of health-related services</p> <p><i>and</i></p> <p>3 years after individual reaches age 18</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO2011-102 Rev. 1	<p><b><i>Patient Medical Records – Disclosure Authorized</i></b></p> <p>Patient medical records for which a disclosure has been authorized in accordance with RCW 70.02.040.</p> <p><i>Note: Retention based on requirement for existing health care information to be retained one year following receipt of an authorization to disclose health care information (RCW 70.02.160).</i></p>	<p><b>Retain</b> for 1 year after receipt of authorization to disclose</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>



### 3.6 RADIATION PROTECTION PROGRAM

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-103 Rev. 1	<p><b><i>Brachytherapy Source Accountability</i></b></p> <p>Records documenting information pertinent to licensees' accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260.</p> <p>Includes, but is not limited to documentation of:</p> <ul style="list-style-type: none"> <li>• Number and activity of sources removed from storage, time and date removed from storage, name(s) of individuals removing them from storage, and location(s) of use;</li> <li>• Number and activity of sources not implanted or returned to storage, time and date they were returned to storage, and name(s) of individuals who returned them to storage;</li> <li>• Number and activity of sources permanently implanted in the patient or human research subject.</li> </ul> <p><i>Note: Retention based on 3-year requirement after disposal of source for records documenting licensees' accountability for brachytherapy sources (WAC 246-240-596).</i></p>	<p><b>Retain</b> for 3 years after disposal of source <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-58 Rev. 1	<p><b><i>Byproduct Misadministration</i></b></p> <p>Records relating to the misadministration of byproduct material or radiation from byproduct material.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Doses that differ from the prescribed dose by twenty percent or more;</li> <li>• Doses that exceed dose equivalents;</li> <li>• Doses to skin, an organ, or tissue other than the treatment site.</li> </ul>	<p><b>Retain</b> for 8 years after date of event <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.6 RADIATION PROTECTION PROGRAM

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-39 Rev. 1	<p><b>Occupational and Public Dose/Exposure – Reports</b></p> <p>Records relating to activities, program reviews, measurements, and calculations which may be necessary to determine the extent of occupational and/or public exposure from sources of radiation as required in WAC 246-221-230.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Records on Department of Health Form RHF-5 or RHF-5A, or equivalent, of doses received by all individuals for whom monitoring is required pursuant to WAC 246-221-090 and/or 246-221-100;</li> <li>Records of doses received during planned special exposures, accidents, and/or emergency conditions;</li> <li>Specific information used to calculate the committed effective dose equivalent pursuant to WAC 246-221-040(3);</li> <li>Results of surveys to determine the dose from external sources of radiation used in the absence of, or in combination with, individual monitoring data, in the assessment of individual dose equivalents;</li> <li>Results of measurements and calculations used to determine individual intakes of radioactive material used in the assessment of internal dose;</li> <li>Records showing results of air sampling, surveys, and bioassays required pursuant to WAC 246-221-117;</li> <li>Results of measurements and calculations used to evaluate the release of radioactive effluents to the environment.</li> </ul>	<p><b>Retain</b> for 30 years after termination of last pertinent license or registration</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 3.6 RADIATION PROTECTION PROGRAM

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-37 Rev. 2	<b>Occupational and Public Dose/Exposure – Working Files</b> Records used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent as required in WAC 246-221-230(9)(b). <i>Note: Retention based on 3-year requirement after date of document for public dose/exposure working files (WAC 246-221-230(9)).</i>	<b>Retain</b> for 3 years after completion of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-104 Rev. 1	<b>Patient Releases – Radiation</b> Records relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122. <i>Note: Retention based on 3-year requirement of records relating to the release of individuals containing unsealed radioactive material or implant (WAC 246-240-578).</i>	<b>Retain</b> for 3 years after patient release <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-105 Rev. 0	<b>Program Approvals/Changes</b> Records relating to management approvals of radiation program licensing, workers, or program changes in accordance with WAC 246-240-551 or WAC 246-240-554.	<b>Retain</b> for 5 years after date of document/approval <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-42 Rev. 2	<b>Public Dose Limit Compliance</b> Records documenting compliance with public dose limits for individuals as required by WAC 246-221-060(4). <i>Note: Retention based on requirements for records documenting compliance with public dose limits for individuals in accordance with WAC 246-221-230(8)(b).</i>	<b>Retain</b> until termination of last pertinent license or registration <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**3.6 RADIATION PROTECTION PROGRAM**

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-43 Rev. 1	<b>Radiation Doses</b> Records relating to the administration of radiation doses for which written directives are required.	<b>Retain</b> for 3 years after administration of dose then <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-56 Rev. 1	<b>Radiopharmaceutical Assays</b> Records relating to assays of radiopharmaceuticals.	<b>Retain</b> for 2 years after date of assay <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-03L-03 Rev. 1	<b>Source Surveys and Tests</b> Records relating to the survey and/or testing of byproduct sources or byproduct dose sources. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Surveys of implanted brachytherapy sources in accordance with 10 CFR 35.406(d);</li> <li>• Byproduct dose activity measurements performed in accordance with WAC 246-240-107;</li> <li>• Leak test records of sealed or brachytherapy sources performed in accordance with WAC 246-240-113(1);</li> <li>• Radiopharmaceutical concentration testing of molybdenum-99, strontium-82, and/or strontium-85 in accordance with WAC 246-240-160.</li> </ul>	<b>Retain</b> for 3 years after date of survey/measurement <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



### 3.6 RADIATION PROTECTION PROGRAM

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-30 Rev. 1	<p><b>Surveys – General</b></p> <p>Records relating to radiation surveys performed to evaluate the radiological conditions and potential hazards incident to the production, use, release, disposal, or presence of radiation sources.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Ambient radiation exposure surveys performed in accordance with WAC 246- 240-119;</li> <li>• General surveys as required by WAC 246-221-110 and/or 246-220-040;</li> <li>• Hot lab surveys;</li> <li>• Mobile medical services surveys performed in accordance with WAC 246-240-125(1)(b) and/or 246-240-125(1)(d);</li> <li>• Mobile nuclear medicine surveys;</li> <li>• Package surveys as required in WAC 246-221-160;</li> <li>• Surveys of patients, human research subjects, and/or remote afterloader units in accordance with WAC 246-240-354 prior to patient release to confirm that the radiation source(s) has been removed from the patient or subject and returned to the safe shielded position;</li> <li>• Working reception surveys.</li> </ul>	<p><b>Retain</b> for 3 years after date of survey <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR





**3.6 RADIATION PROTECTION PROGRAM**

*The activity related to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-106 Rev. 1	<p><b>Written Directives – Authorizations</b></p> <p>Written directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060.</p> <p><i>Note: Retention based on 3-year requirement of written directives for the administration of radioactive materials (WAC 246-240-557).</i></p>	<p><b>Retain</b> for 3 years after date of directive <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-107 Rev. 0	<p><b>Written Directives – Doses</b></p> <p>Records relating to the administration of radiation doses for which written directives are required.</p>	<p><b>Retain</b> for 3 years after administration of dose <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-108 Rev. 1	<p><b>Written Directives – Procedures</b></p> <p>Procedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063.</p> <p><i>Note: Retention based on procedures for any administration of radioactive material requiring a written directive for the duration of the authorized user’s license in accordance with WAC 246-240-560.</i></p>	<p><b>Retain</b> for the duration of the authorized user’s license <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 4. HOSPITAL SUPPORT SERVICES

The function of providing services which support the primary mission of the public hospital.

4.1 FOOD SERVICES			
<i>The activity of providing food services for patients, staff, and the public.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03D-03 Rev. 1	<b>Meal Counts</b> Records documenting the number of meals provided to patients.	<b>Retain</b> for 3 years after date meals distributed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-03D-04 Rev. 2	<b>Menus – Cafeteria</b> Records relating to menus for hospital cafeterias.	<b>Retain</b> for 1 year after last date menu was offered <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-03D-06 Rev. 1	<b>Menus – Patient</b> Records relating to menus for food offered to hospital patients.	<b>Retain</b> for 3 years after last date menu was offered <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-109 Rev. 1	<b>Patient Meals</b> Records relating to individual, patient-specific dietary orders or requests used by kitchen staff during meal preparation (e.g. patient diet cards). Excludes records covered by: <ul style="list-style-type: none"> <li>• <i>Patient Medical Records – Age 18 and Over (DAN HO55-03I-07);</i></li> <li>• <i>Patient Medical Records – Under Age 18 (DAN HO2011-101).</i></li> </ul>	<b>Retain</b> for 3 years after provision of meal <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**4.2 QUALITY ASSURANCE AND COMPLIANCE**

*The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-110 Rev. 0	<p><b><i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Accountings of Disclosure</i></b></p> <p>Records relating to patient requests for access or amendment to protected health information, and/or accountings of disclosure.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requests to inspect or obtain copies of any protected health information;</li> <li>• Documentation of patients amending their records, and/or requests for corrections;</li> <li>• Records relating to disclosures of protected health information.</li> </ul>	<p><b>Retain</b> for 6 years after date of disclosure <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-111 Rev. 0	<p><b><i>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Changes/Corrections to Protected Health Information</i></b></p> <p>Records relating to changes or corrections made by the covered entity to an individual’s protected health information.</p>	<p><b>Retain</b> until destruction of protected health information subject to change(s) <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**4.2 QUALITY ASSURANCE AND COMPLIANCE**

*The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-112 Rev. 0	<p><b>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Complaints</b></p> <p>Records relating to 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"> <li>• Complaints received regardless of format or media;</li> <li>• Background/research materials pertaining to complaints received;</li> <li>• Agency responses to complaints;</li> <li>• Complaint logs.</li> </ul>	<p><b>Retain</b> for 6 years after final resolution <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-113 Rev. 0	<p><b>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Sanctions to Workers</b></p> <p>Records relating to sanctions applied to workers for non-compliance with privacy policies and/or practices.</p>	<p><b>Retain</b> for 6 years after fulfillment of sanction <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-114 Rev. 0	<p><b>Health Insurance Portability and Accountability Act (H.I.P.A.A.) – Training</b></p> <p>Records documenting the curriculum, materials, and/or planning of privacy/HIPAA training programs provided by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Training development records;</li> <li>• Training handouts, worksheets, etc.;</li> <li>• Presentations used for HIPAA training purposes.</li> </ul>	<p><b>Retain</b> for 6 years after superseded <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**4.2 QUALITY ASSURANCE AND COMPLIANCE**

*The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-115 Rev. 1	<b>Medical Staff Credentialing/Privileging</b> Records relating to 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 <i>Employee Work History (DAN GS50-04B-06)</i> . <i>Note: Retention based on requirements of records relating to decisions to restrict or terminate privileges of practitioners in accordance with RCW 70.41.220.</i>	<b>Retain</b> for 8 years after termination of employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-03Q-01 Rev. 2	<b>Patient Accident/Incident Reports – No Claim Filed (Age 18 and Older)</b> Records relating to accidents/incidents involving patients age 18 or 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 Excludes records covered by <i>Accidents/Incidents (Hazardous Materials) – No Human Exposure (DAN GS50-19-03)</i> .	<b>Retain</b> for 8 years after date of accident/injury <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-116 Rev. 1	<b>Patient Accident/Incident Reports – No Claim Filed (Under Age 18)</b> Records relating to accidents/incidents involving patients 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 Excludes records covered by <i>Accidents/Incidents (Hazardous Materials) – No Human Exposure (DAN GS50-19-03)</i> .	<b>Retain</b> for 8 years after injury/accident <i>and</i> 8 years after juvenile reaches age 18 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**4.2 QUALITY ASSURANCE AND COMPLIANCE**

*The function of enacting and evaluating policies and guidelines to provide adequate confidence that the hospital will fulfill requirements for quality.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-47 Rev. 2	<p><b><i>Radiation Protection Program Audits and Reviews</i></b> Records relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005. <i>Note: Retention based on 3-year requirement of radiation protection program audits and review records (10 CFR 20.2102).</i></p>	<p><b>Retain</b> for 3 years after completion of audit/review <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
HO2011-117 Rev. 0	<p><b><i>Standard of Care</i></b> Records relating to standard of care documentation detailing clinical guidelines and/or protocols for the assessment and treatment of particular conditions.</p>	<p><b>Retain</b> for 8 years after obsolete or superseded <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR</p>



**4.3 REPORTING**

*The activity of reporting information to external agencies or organizations.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-118 Rev. 0	<b>Baptismal Registries</b> Logs or registries documenting baptisms performed in the hospital.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR
HO2011-119 Rev. 0	<b>Birth/Death Registers</b> Registers documenting summary information about births or deaths which have occurred in the hospital.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR
HO2011-120 Rev. 0	<b>Vital Statistics Supporting Documentation</b> Records relating to the reporting of vital events/statistics to the Washington State Department of Health.	<b>Retain</b> for 1 year after vital event reported to Washington State Department of Health <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 5. HUMAN RESOURCE MANAGEMENT

This section includes records relating to human resource management that are either not covered by or are exceptions to the *Local Government Common Records Retention Schedule (CORE)*.

5.1 PERFORMANCE MANAGEMENT			
<i>The activity of assessing and directing employee progress toward performance goals.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-121 Rev. 2	<b>Staff Plans/Schedules</b> Records relating to staff plans and schedules for nurses, social workers, and/or other medical staff. Excludes physician call schedules covered by <i>Physician Call Schedules (DAN HO55-03E-02)</i> .	<b>Retain</b> until completion of Joint Commission audit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03E-02 Rev. 2	<b>Physician Call Schedules</b> Schedules documenting on-call schedules for hospital physicians. Excludes staff plans/schedules covered by <i>Staff Plans/Schedules (DAN HO2011-121)</i> . <i>Note: Retention based on requirements for physician on-call schedules to be kept in accordance with 42 CFR 489.20(r)(1-3).</i>	<b>Retain</b> for 5 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-122 Rev. 1	<b>Radiation Safety Officer</b> Records relating to the authority, duties, and responsibilities of the radiation safety officer. <i>Note: Retention based on requirements for records relating to the authority, duties, and responsibilities of radiation safety offices be kept until termination/expiration of medical use license (WAC 246-240-551(2)).</i>	<b>Retain</b> until termination/expiration of medical use license <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR





## 5.2 PERSONNEL

*The activity of documenting an individual's employment with the local government agency. Includes volunteers.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-123 Rev. 1	<p><b>Blood/Tissue Bank Employees</b></p> <p>Quality assurance and training records relating to blood/tissue bank employees. Excludes personnel files covered by <i>Employee Work History (DAN GS50-04B-06)</i>. <i>Note: Retention based on 10-year recommendation by the College of American Pathologists for blood bank records relating to employees.</i></p>	<p><b>Retain</b> for 10 years after termination of employment <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**5.3 STAFF DEVELOPMENT/TRAINING**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03L-61 Rev. 2	<p><b>Instruction/Training – Occupational Doses</b></p> <p>Records relating to the provision of instruction on occupational radiation doses for employees who work in radiation areas for which notification of destruction eligibility has been received from the Department of Health.</p> <p><i>Note: Retention based on requirement of records relating to worker receipt of instruction regarding occupational doses of radiation be kept until further notice from Washington State Department of Health, in accordance with WAC 246-222-030(2).</i></p>	<p><b>Retain</b> until no longer needed for agency business <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-63 Rev. 2	<p><b>Instruction/Training – Radiation Protection</b></p> <p>Records documenting the provision of safety instruction to personnel who operate remote afterloader units, teletherapy units, or gamma stereotactic radiosurgery units in accordance with WAC 246-240-204, 246-240-263, or 246-240-360, or who care for patients receiving brachytherapy, radiopharmaceutical therapy, and/or teletherapy.</p> <p><i>Note: Retention based on 3-year requirement of records of safety instruction (WAC 246-240-590).</i></p>	<p><b>Retain</b> for 3 years after date instruction completed <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03L-06 Rev. 1	<p><b>Medical Use Licenses</b></p> <p>Records relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Byproduct material medical use licenses;</li> <li>• Radioactive materials general and specific licenses.</li> </ul>	<p><b>Retain</b> for 8 years after termination of employment <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR



## 6. LABORATORY AND PATHOLOGY MANAGEMENT

The function of providing laboratory and pathology services for the assessment and diagnosis of illness, disease, and death.

*Note: For the retention of laboratory and/or pathology specimens, Washington State Archives recommends agencies refer to the retention guidelines issued by the College of American Pathologists, the Clinical Laboratory Improvement Amendments (CLIA), and applicable state and federal codes and regulations.*

### 6.1 LABORATORY (GENERAL)

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03N-05 Rev. 1	<b>Accession/Test Logs</b> Logs documenting specimens received by a laboratory and test(s) ordered and/or performed in accordance with 42 CFR 493.1105. Excludes laboratory and pathology specimens covered by WAC 246-338-070.	<b>Retain</b> for 2 years after date of entry <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-124 Rev. 1	<b>Immunohematology – Non-Transfusion Related</b> Records relating to patient testing and quality control for non-transfusion services, including instrument function checks, maintenance, and temperature records. <i>Note: Retention based on 2-year requirement of non-transfusion related immunohematology records, in accordance with 42 CFR 493-1105(a)(3)(ii).</i>	<b>Retain</b> for 2 years after date of document <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**6.1 LABORATORY (GENERAL)**

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-125 Rev. 1	<p><b><i>Immunohematology – Transfusion Related</i></b></p> <p>Records relating to patient testing and quality control for transfusion services, including donor processing, compatibility testing, and transfusion reaction investigations.</p> <p><i>Note: Retention based on the requirements of transfusion-related immunohematology records be kept for 5 years after records of processing are completed, or 6 months after the latest expiration data for individual product, whichever is longer, in accordance with 42 CFR 493-1105(a)(3)(ii).</i></p>	<p><b>Retain</b> for 5 years after records of processing completed</p> <p><i>and</i></p> <p>6 months after latest expiration date for individual product</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**6.1 LABORATORY (GENERAL)**

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03H-05 Rev. 2	<p><b>Quality Control and Assurance – Transfusion Services</b></p> <p>Records relating to medical test site quality control programs for transfusion services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Performance specifications;</li> <li>• Requisitions;</li> <li>• Instrument documentation;</li> <li>• Specimen identification and tracking records.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Laboratory specimens covered by WAC 246-338-070;</li> <li>• Records covered by <i>Quality Control and Assurance – Non-Transfusion Services (DAN HO2011-126)</i>.</li> </ul> <p><i>Note: Retention based on 5-year requirement for transfusion services quality control and assurance records (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 5 years after conclusion of quality control testing</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 6.1 LABORATORY (GENERAL)

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-126 Rev. 1	<p><b>Quality Control and Assurance – Non-Transfusion Services</b></p> <p>Records relating to quality control programs for non-transfusion services enacted to ensure that accurate test results are reported.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Performance specifications;</li> <li>• Requisitions;</li> <li>• Instrument documentation;</li> <li>• Specimen identification and tracking records.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Laboratory specimens covered by WAC 246-338-070;</li> <li>• Records covered by <i>Quality Control and Assurance – Transfusion Services (DAN HO55-03H-05)</i>.</li> </ul> <p><i>Note: Retention based on 2-year requirement for non-transfusion services quality control and assurance records (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 2 years after conclusion of quality control testing</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-127 Rev. 1	<p><b>Test Procedures</b></p> <p>Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105.</p> <p><i>Note: Retention based on the 2-year requirement for test procedures by the Clinical Laboratory Improvement Amendments (CLIA) and the College of American Pathologists (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 2 years after procedure has been discontinued</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 6.1 LABORATORY (GENERAL)

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03H-07 Rev. 2	<p><b>Test Reports – General</b> Reports and results for specimens tested or examined by a pathologist, <b>where not covered by a more specific records series.</b> Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• Test Reports – Pathology (DAN HO2011-128);</li> <li>• Test Reports – Transfusion Services (DAN HO2011-129).</li> </ul> <p><i>Note: Retention based on the 2-year requirement by the Clinical Laboratory Improvement Amendments (CLIA) for test reports (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 2 years after examination of the slide <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-128 Rev. 1	<p><b>Test Reports – Pathology</b> Final, preliminary, and corrected reports for pathology tests, including cytology, histopathology, and oral pathology reports. Excludes:</p> <ul style="list-style-type: none"> <li>• Test Reports – General (DAN HO55-03H-07);</li> <li>• Test Reports – Transfusion Services (DAN HO2011-129).</li> </ul> <p><i>Note: Retention based on the 10-year requirement for pathology test reports (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 10 years after date of report <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**6.1 LABORATORY (GENERAL)**

*The activity concerned with the overall maintenance and operation of laboratories and laboratory equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-129 Rev. 1	<p><b>Test Reports – Transfusion Services</b>            Reports and results for transfusion-related specimens test/examined by a pathologist.            Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Test Reports – General (DAN HO55-03H-07);</i></li> <li>• <i>Test Reports – Pathology (DAN HO2011-128).</i></li> </ul> <p><i>Note: Retention based on the 5-year requirement for transfusion services reports (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 5 years after date of report/results  <i>then</i>  <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO2011-130 Rev. 1	<p><b>Transfusion Services – General Administration</b>            Records relating to the provision of transfusion services.            Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Test requisitions or equivalent;</li> <li>• Test records and reports;</li> <li>• Quality control and assurance.</li> </ul> <p><i>Note: Retention based on the 5-year requirement for transfusion services (WAC 246-338-070).</i></p>	<p><b>Retain</b> for 5 years after conclusion of transfusion/testing  <i>then</i>  <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR





**6.2 BLOOD/TISSUE BANKS**

*The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-131 Rev. 1	<p><b><i>Donors – Deferred</i></b> Records relating to donors who have been indefinitely deferred, permanently deferred, or placed under surveillance for the recipient’s protection. <i>Note: Retention based on the indefinite retention for blood bank records relating to indefinitely deferred donors, permanently deferred donors, or donors placed under surveillance by the College of American Pathologists.</i></p>	<p><b>Retain</b> for the life of the agency <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO2011-132 Rev. 1	<p><b><i>Donors/Recipients – General</i></b> Records documenting health, medical, and other information about donors and recipients. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Consent information;</li> <li>• Donor/recipient identifying information;</li> <li>• Medical and social history;</li> <li>• Typing and crossmatch information.</li> </ul> <p><i>Note: Retention based on the 10-year recommendation by the College of American Pathologists for blood bank records relating to donors and recipients.</i></p>	<p><b>Retain</b> for 10 years after final donation/receipt <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO2011-133 Rev. 1	<p><b><i>Donors/Recipients – Specimens</i></b> Records relating to specific specimens, including management and tracking, testing and typing, and recipient information. <i>Note: Retention based on 7-day recommendation by the College of American Pathologists for blood bank records relating to specimens from blood donors post-transfusion.</i></p>	<p><b>Retain</b> for 7 days after transfusion <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



## 6.2 BLOOD/TISSUE BANKS

*The activity of operating banks for the storage or preservation of blood, blood components, or tissue for later use in transfusions.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-134 Rev. 1	<p><b>Quality Control (Blood/Tissue Banks)</b></p> <p>Records relating to quality control measures enacted in blood/tissue banks.</p> <p><i>Note: Retention based on 5-year recommendation by the College of American Pathologists for blood bank records relating to quality control.</i></p>	<p><b>Retain</b> for 5 years after conclusion of quality control testing <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**6.3 CYTOGENETICS**

*The activity of conducting cytogenetic analysis to determine diagnosis.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-135 Rev. 1	<p><b><i>Diagnostic Images and Final Reports (Cytogenetics)</i></b> Final reports and diagnostic images relating to cytogenetic examinations. <i>Note: Retention based on 20-year recommendation by the College of American Pathologists for cytogenetics diagnostic images and final reports.</i></p>	<p><b>Retain</b> for 20 years after date of report <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-136 Rev. 1	<p><b><i>Gated Dot Plots/Histograms</i></b> Records relating to gated dot plots and histograms used for flow cytometry. <i>Note: Retention based on 10-year recommendation by the College of American Pathologists for cytogenetics flow cytometry.</i></p>	<p><b>Retain</b> for 10 years after examination <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 6.4 FORENSIC PATHOLOGY

*The activity of examining corpses to determine cause of death.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-137 Rev. 1	<b>Accession Logs</b> Records documenting the receipt and management of specimens received for forensic examination. <i>Note: Retention based on recommendation by the College of American Pathologists for forensic autopsy access logs to be kept indefinitely.</i>	<b>Retain</b> for the life of the agency <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR
HO2011-138 Rev. 1	<b>Cytology Reports</b> Records relating to cytology examinations. <i>Note: Retention based on 10-year requirement for cytology reports (WAC 246-338-070).</i>	<b>Retain</b> for 10 years after date of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-139 Rev. 1	<b>Gross Injury/Trauma Photographs and Negatives</b> Records relating to photographs and/or negatives of gross injuries or trauma. <i>Note: Retention based on recommendation by the College of American Pathologists for gross negatives and photographs to be kept indefinitely.</i>	<b>Retain</b> for the life of the agency <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) <b>ESSENTIAL</b> (for Disaster Recovery) OPR



## 6.4 FORENSIC PATHOLOGY

*The activity of examining corpses to determine cause of death.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03A-02 Rev. 2	<b><i>Test Reports – Forensic</i></b> Final reports and slides relating to forensic autopsy examinations. <i>Note: Retention based on recommendation by the College of American Pathologists for forensic reports and slides to be kept indefinitely.</i>	<b>Retain</b> for the life of the agency <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR



## 7. PHARMACY MANAGEMENT

The function relating to the management of pharmacies that are part of public hospitals.

<b>7.1 ADMINISTRATION</b> <i>The activity of providing for the general administration of public hospital pharmacies.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-030-22 Rev. 1	<p><b><i>Patient Profile and Medication Records – Age 18 and Over</i></b></p> <p>Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient 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"><li>• Client details;</li><li>• Parenteral products dispensed;</li><li>• Dates and details of dispensations;</li><li>• Pharmacist identification;</li><li>• Client notes, diagnoses, and conditions;</li><li>• Prescription and refill records.</li></ul>	<p><b>Retain</b> for 8 years after last provision of health-related services</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>



**7.1 ADMINISTRATION**

*The activity of providing for the general administration of public hospital pharmacies.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-140 Rev. 0	<p><b>Patient Profile and Medication Records – Under Age 18</b></p> <p>Records relating to the filling and dispensing of medications, created in accordance with WAC 246-871-050(2), on each patient under age 18 receiving prescription medication from the pharmacy.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Client details;</li> <li>• Parenteral products dispensed;</li> <li>• Dates and details of dispensations;</li> <li>• Pharmacist identification;</li> <li>• Client notes, diagnoses, and conditions;</li> <li>• Prescription and refill records.</li> </ul>	<p><b>Retain</b> for 8 years after individual reaches age 18</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO55-030-12 Rev. 2	<p><b>Batch Data</b></p> <p>Records relating to laboratory data on each batch of drug received.</p>	<p><b>Retain</b> for 50 years after completion/cessation of batch distribution</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



## 7.2 DRUG ACCOUNTABILITY

*The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-030-11 Rev. 2	<b>Home Dialysis Program – Drug Shipment</b> Records relating to the shipment of drugs to persons on home dialysis programs.	<b>Retain</b> for 2 years after date of shipment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-03Y-02 Rev. 2	<b>Legend Drug Orders</b> Records relating to legend drug orders.	<b>Retain</b> for 6 years after date of purchase <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-030-09 Rev. 2	<b>Pharmaceutical Inventory Accountability</b> Records relating to the pharmacy's acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances. Includes, but is not limited to: <ul style="list-style-type: none"> <li>• Destruction records;</li> <li>• Dispensing records created in accordance with 21 CFR 1306.26 or 21 CFR 10.34.04;</li> <li>• Drug registers and inventories;</li> <li>• Receipt and distribution records (e.g. invoices, orders, receipts, prescriptions);</li> <li>• Transfer records;</li> <li>• Records of destruction.</li> </ul>	<b>Retain</b> for 6 years after date of destruction/disposition <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR





## 7.2 DRUG ACCOUNTABILITY

*The activity of documenting the pharmacy's acquisition, use, and disposition of pharmaceutical drugs.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-030-19 Rev. 2	<b>Pharmaceutical Wholesaler Inventories</b> Inventory and transaction records maintained by wholesale drug distributors regarding the receipt, distribution, or disposition of prescription drugs.	<b>Retain</b> for 2 years after date of creation <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO55-030-29 Rev. 1	<b>Schedule V Drugs Dispensed</b> Records documenting the dispensing of Schedule V drugs.	<b>Retain</b> for 6 years after date dispensed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**7.3 QUALITY ASSURANCE AND CONTROL**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-030-04 Rev. 1	<b>Compounding Practices</b> Reports relating to the evaluation and implementation of compounding best practices and procedures in compounding pharmacies.	<b>Retain</b> for 2 years after date of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-030-10 Rev. 2	<b>Drug Distribution Errors</b> Reports documenting drug distribution errors reported to a prescribing practitioner and/or pharmacy.	<b>Retain</b> for 6 years after date of report <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-141 Rev. 1	<b>Home Dialysis Program Quality Assurance</b> Reports relating to quality assurance programs for home dialysis and related drug distribution error, loss, damage, and theft records.	<b>Retain</b> for 6 years after date of shipment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-030-15 Rev. 2	<b>Monthly Inspections – Hospital/Nursing Care Units</b> Reports relating to the monthly inspection of nursing care units or other areas of hospitals in which medications are dispensed, administered or stored.	<b>Retain</b> for 3 years after date of inspection <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



**7.3 QUALITY ASSURANCE AND CONTROL**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-030-18 Rev. 2	<p><b><i>Parenteral Product Contamination Testing</i></b></p> <p>Reports relating to the testing of parenteral products for microbial contamination and other inadequacies.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Quality assurance records documenting medication errors, adverse drug reactions, patient satisfaction, and product sterility;</li> <li>• Documentation of sampling tests for contamination;</li> <li>• End product testing where bulk compounding of parenteral solutions is performed utilizing non-sterile chemicals.</li> <li>• Documentation justifying chosen expiration dates for compounded parenteral products.</li> </ul>	<p><b>Retain</b> for 6 years after date of document <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-030-03 Rev. 2	<p><b><i>Pharmaceutical Complaints and Investigations</i></b></p> <p>Records of all written and oral complaints regarding each pharmaceutical product, and related investigation records.</p>	<p><b>Retain</b> for 2 years after distribution of drug has been completed <i>and</i> 1 year after expiration of drug <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR



**7.3 QUALITY ASSURANCE AND CONTROL**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-142 Rev. 1	<b>Pharmacy Policy, Procedure, and Training Manuals</b> Manuals of pharmacy policies and procedures which ensure patient health, safety, and welfare, as well as training manuals for pharmacy employees.	<b>Retain</b> for 2 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OFM
HO55-030-26 Rev. 1	<b>Regulated Chemical Tableting</b> Transaction and Drug Enforcement Agency reporting records for regulated transactions involving listed chemicals, a tableting machine, or an encapsulating machine in accordance with 21 CFR 1310.03, 1310.04, and 1310.05.	<b>Retain</b> for 2 years after date of transaction <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-030-25 Rev. 2	<b>Returned Pharmaceuticals</b> Records relating to pharmaceuticals returned to the pharmacy and any related examination or testing performed on such pharmaceuticals.	<b>Retain</b> until termination of pharmacy license <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
HO55-030-31 Rev. 2	<b>Therapeutically Equivalent Drug Substitution</b> Records documenting prior authorization for therapeutically equivalent drug substitution.	<b>Retain</b> for 10 years after patient's last discharge <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 8. RESEARCH MANAGEMENT

The function of managing or engaging in research activities.

8.1 CLINICAL TRIALS			
<i>The activity of performing and/or sponsoring clinical trials to evaluate the safety and efficacy of investigational drugs or medical devices.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-143 Rev. 1	<b><i>Bioavailability/Bioequivalence Samples – Food and Drug Administration Application (Approved)</i></b> 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.	<b>Retain</b> for 5 years after date on which Food and Drug Administration application or supplemental application is approved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR
HO2011-144 Rev. 1	<b><i>Bioavailability/Bioequivalence Samples – Food and Drug Administration Application (Not Approved)</i></b> 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.	<b>Retain</b> for 5 years after date of completion of the bioavailability study <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



**8.1 CLINICAL TRIALS**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-145 Rev. 0	<p><b>Device Trials</b></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"> <li>Investigator records of receipt, use, shipment, or disposition of an investigational device;</li> <li>Investigator protocols and documentation showing dates and reasons of deviation from protocol;</li> <li>Sponsor records of device shipment and disposition;</li> <li>Signed investigator agreements;</li> <li>Sponsor records concerning adverse device effects;</li> <li>Other records required to be maintained by the Food and Drug Administration.</li> </ul>	<p><b>Retain</b> for 2 years after date investigation completed/terminated</p> <p><i>and</i></p> <p>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</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
HO2011-146 Rev. 1	<p><b>Trial Drug Management – Food and Drug Administration Application (Approved)</b></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: Retention based on 2-year requirement after application approval for records and reports showing the receipt, shipment, or other disposition of investigational drugs in accordance with 21 CFR 312.57.</i></p>	<p><b>Retain</b> for 2 years after date marketing application is approved</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



**8.1 CLINICAL TRIALS**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-147 Rev. 1	<p><b><i>Trial Drug Management – Food and Drug Administration Application (Not Approved)</i></b></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: Retention based on 2-year requirement after application not approved for records and reports showing the receipt, shipment, or other disposition of investigational drugs in accordance with 21 CFR 312.57.</i></p>	<p><b>Retain</b> for 2 years after investigation is discontinued and the Food and Drug Administration notified</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-148 Rev. 0	<p><b><i>Investigators’ Financial Interest</i></b></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"> <li>• Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR 54.4(a)(3)(i);</li> <li>• Records showing significant payments made by the sponsor to the investigator as described in 21 CFR 54.4(a)(3)(ii);</li> <li>• Records showing financial interests held by clinical investigators as described in 21 CFR 54.4(a)(3)(iii).</li> </ul>	<p><b>Retain</b> for 6 years after conclusion of pertinent investigational activities</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



**8.1 CLINICAL TRIALS**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-149 Rev. 0	<p><b><i>In Vivo/In Vitro Batch Tests</i></b></p> <p>Records relating to in vivo or in vitro tests conducted on any marketed batch of a drug product to assure it meets bioequivalence requirements, retained in accordance with 21 CFR 320.36(a).</p>	<p><b>Retain</b> for 2 years after expiration date of the batch <i>and</i> 2 years after submitted to the Food and Drug Administration <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
HO2011-150 Rev. 1	<p><b><i>Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)</i></b></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 been filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case report forms and supporting data;</li> <li>• Signed and dated consent forms;</li> <li>• Medical records.</li> </ul> <p><i>Note: Retention based on 2-year requirement for drug disposition and case history records after the date a Food and Drug Administration marketing application is approved for the drug being investigated in accordance with 21 CFR 312.64.</i></p>	<p><b>Retain</b> for 2 years after date marketing application is approved <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR





**8.1 CLINICAL TRIALS**

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-151 Rev. 1	<p><b><i>Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)</i></b></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"> <li>• Case report forms and supporting data;</li> <li>• Signed and dated consent forms;</li> <li>• Medical records.</li> </ul> <p><i>Note: Retention based on 2-year requirement for drug disposition and case history records after the investigation is discontinued and the Food and Drug Administration is notified in accordance with 24 CFR 312.64.</i></p>	<p><b>Retain</b> for 2 years after investigation is discontinued and the Food and Drug Administration is notified</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>



## 8.2 DIAGNOSTIC RESEARCH

*The activity relating to conducting diagnostic research.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO2011-152 Rev. 0	<p><b>Diagnostic Research</b></p> <p>Records created in the course of performing diagnostic testing for research purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"><li>• Patient files, including medical histories;</li><li>• Diagnostic research images.</li></ul>	<p><b>Retain</b> for 8 years after conclusion of research activities</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL</p> <p><b>ESSENTIAL</b></p> <p>(for Disaster Recovery)</p> <p>OPR</p>



### 8.3 INSTITUTIONAL REVIEW BOARDS

*The activity relating to the management and oversight of human subject research.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03U-04 Rev. 2	<p><b><i>Institutional Review Boards – General Board Records</i></b></p> <p>Records relating to institutional review boards and their activities in the monitoring and oversight of human subject research as described in 45 CFR 46.115.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Approved sample consent documents;</li> <li>• IRB member lists and credentialing;</li> <li>• IRB reviews of research proposals and ongoing review activities;</li> <li>• Minutes of IRB meetings;</li> <li>• Reports of unanticipated problems involving risks to subjects or others;</li> <li>• Scientific evaluations.</li> </ul> <p><i>Note: Retention based on 3-year requirement for general IRB records in accordance with 45 CFR 45.115(a).</i></p>	<p><b>Retain</b> for 3 years after date of document</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention)</p> <p><b>ESSENTIAL</b> (for Disaster Recovery)</p> <p>OPR</p>



### 8.3 INSTITUTIONAL REVIEW BOARDS

*The activity relating to the management and oversight of human subject research.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
HO55-03U-07 Rev. 2	<p><b><i>Institutional Review Boards – Principal Investigator Records</i></b></p> <p>Records relating to investigator activities in human subject research.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Documentation of uses and disclosures;</li> <li>• Authorization/consent forms;</li> <li>• Business partner contracts;</li> <li>• Notices of practice;</li> <li>• Responses to requests to amend or correct information;</li> <li>• Patient statements of disagreements and complaints.</li> </ul> <p><i>Note: Retention based on 6-year requirement for principal investigators’ records after research is completed in accordance with 45 CFR 45.115.</i></p>	<p><b>Retain</b> for 6 years after completion of research</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL</p> <p><b>ESSENTIAL</b></p> <p>(for Disaster Recovery)</p> <p>OPR</p>
HO55-03U-02 Rev. 2	<p><b><i>Institutional Review Boards – Research Conducted</i></b></p> <p>IRB board 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"> <li>• Correspondence between the IRB and investigators/researchers;</li> <li>• Progress reports provided to IRB;</li> <li>• Reports of unanticipated problems involving risks to subjects or others;</li> <li>• Injury reports;</li> <li>• Significant new findings provided to subjects.</li> </ul> <p><i>Note: Retention based on 3-year requirement for IRB records relating to completion of research conducted in accordance with 45 CFR 46.115(b).</i></p>	<p><b>Retain</b> for 3 years after completion/termination of research</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b></p> <p>(Appraisal Required)</p> <p><b>ESSENTIAL</b></p> <p>(for Disaster Recovery)</p> <p>OPR</p>



## GLOSSARY

### ***Appraisal***

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

### ***Archival (Appraisal Required)***

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

### ***Archival (Permanent Retention)***

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

### ***Disposition***

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

### ***Disposition Authority Number (DAN)***

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

### ***Essential Records***

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



### ***Local Records Committee***

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

### ***Non-Archival***

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

### ***Non-Essential Records***

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

### ***OFM (Office Files and Memoranda)***

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

### ***OPR (Official Public Records)***

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

### ***Public Records***

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

### ***Records Series***

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

### ***State Records Committee***

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



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