This schedule applies to: **U.W. Medicine**

**Scope of records retention schedule**
This records retention schedule authorizes the destruction/transfer of the public records of U.W. Medicine relating to the functions of agency management, asset management, health care and treatment, hospital support services, human resource management, laboratory and pathology management, pharmacies, and research. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

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

Public records designation 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 issued records retention schedules to U.W. Medicine are revoked. U.W. Medicine must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**
This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on April 4, 2018.
## REVISION HISTORY

<table>
<thead>
<tr>
<th>Version</th>
<th>Date of Approval</th>
<th>Extent of Revision</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>August 3, 2011</td>
<td>Initial version.</td>
</tr>
<tr>
<td>1.1</td>
<td>June 5, 2013</td>
<td>Minor revisions.</td>
</tr>
<tr>
<td>1.2</td>
<td>September 3, 2014</td>
<td>Minor revisions.</td>
</tr>
<tr>
<td>1.3</td>
<td>December 3, 2014</td>
<td>Addition of a new Student Management section and minor revisions to the Agency Management – Community Relations; Health Care and Treatment – Patient Billing; and Hospital Support Services – Quality Assurance and Compliance sections.</td>
</tr>
<tr>
<td>1.4</td>
<td>March 12, 2015</td>
<td>Revision of Research Management section.</td>
</tr>
<tr>
<td>1.5</td>
<td>March 2, 2016</td>
<td>Minor revisions to the “Hospital Support Services – Quality Assurance and Compliance” and “Pharmacy Management – Drug Accountability” sections.</td>
</tr>
<tr>
<td>1.7</td>
<td>April 4, 2018</td>
<td>Minor revisions and corrections to the Asset Management, Health Care and Treatment, Hospital Support Services, Human Resource Management, and Pharmacy Management sections.</td>
</tr>
</tbody>
</table>

For assistance and advice in applying this records retention schedule,
please contact U.W. Medicine’s Records Officer
or Washington State Archives at: recordsmanagement@sos.wa.gov
# TABLE OF CONTENTS

1. **AGENCY MANAGEMENT** ................................................................................................................. 5  
   1.1 COMMUNITY RELATIONS ........................................................................................................... 5  

2. **ASSET MANAGEMENT** .................................................................................................................... 7  
   2.1 DISPOSAL ..................................................................................................................................... 7  
   2.2 INVENTORY .................................................................................................................................. 9  
   2.3 LEASING/USAGE ......................................................................................................................... 10  
   2.4 MAINTENANCE ........................................................................................................................... 11  
   2.5 PURCHASING/ACQUISITION ........................................................................................................ 16  

3. **HEALTH CARE AND TREATMENT** ............................................................................................... 17  
   3.1 DIAGNOSTIC AND MEDICAL IMAGING ..................................................................................... 17  
   3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT ........................................................... 20  
   3.3 PATIENT ADMINISTRATION ....................................................................................................... 22  
   3.4 PATIENT BILLING ....................................................................................................................... 26  
   3.5 PATIENT MEDICAL RECORDS ................................................................................................... 28  
   3.6 RADIATION PROTECTION PROGRAM ....................................................................................... 35  

4. **HOSPITAL SUPPORT SERVICES** .................................................................................................... 41  
   4.1 FOOD SERVICES ....................................................................................................................... 41  
   4.2 QUALITY ASSURANCE AND COMPLIANCE ............................................................................ 42  
   4.3 REPORTING ............................................................................................................................... 47  

5. **HUMAN RESOURCE MANAGEMENT** ........................................................................................... 48  
   5.1 PERFORMANCE MANAGEMENT ................................................................................................. 48  
   5.2 PERSONNEL ............................................................................................................................... 49
5.3 STAFF DEVELOPMENT/TRAINING .......................................................................................................................... 50

6. LABORATORY AND PATHOLOGY MANAGEMENT .......................................................................................................... 51
   6.1 LABORATORY (GENERAL) ........................................................................................................................................ 51
   6.2 BLOOD/TISSUE BANKS ........................................................................................................................................ 57
   6.3 CYTOGENETICS ..................................................................................................................................................... 59
   6.4 FORENSIC PATHOLOGY ........................................................................................................................................ 60

7. PHARMACY MANAGEMENT .............................................................................................................................................. 62
   7.1 ADMINISTRATION .................................................................................................................................................... 62
   7.2 DRUG ACCOUNTABILITY ........................................................................................................................................ 64
   7.3 QUALITY ASSURANCE AND CONTROL .................................................................................................................... 66

8. RESEARCH MANAGEMENT .................................................................................................................................................. 69

9. STUDENT MANAGEMENT .................................................................................................................................................. 78
   9.1 STUDENT TRAINING ................................................................................................................................................ 78

GLOSSARY .......................................................................................................................................................................... 79

INDEXES ............................................................................................................................................................................. 82
1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration not currently covered by the State Government General Records Retention Schedule.

See State Government General Records Retention Schedule for additional records relating to agency management.

1.1 COMMUNITY RELATIONS

The activity of the agency interacting with its community.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62511 Rev. 2</td>
<td><strong>Patient Relations</strong></td>
<td>Retain for 8 years after inquiry/complaint/grievance then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
|                                   | Records relating to the agency’s interactions with patients or their representatives, such as inquiries, complaints, and grievances. Includes, but is not limited to:  
  - Inquiries/complaints/grievances received;  
  - Documentation of agency response(s).  
|                                   | Excludes records covered by Compliance Investigations (DAN 11-08-62584). | | |
### 1.1 COMMUNITY RELATIONS

*The activity of the agency interacting with its community.*

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
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</tr>
</thead>
<tbody>
<tr>
<td>13-06-68446 Rev. 3</td>
<td><em>Patient Relations – Telephone Records (Routine)</em>&lt;br&gt;Records documenting routine phone calls and referral processes directed to UW Medicine call centers and other units, relating to health care, appointments, inquiries, complaints, and financial matters.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Recordings of interactions;&lt;br&gt;• Call reports and statistics.&lt;br&gt;Excludes records covered by:&lt;br&gt;• <em>Patient Relations (DAN 11-08-62511)</em>;&lt;br&gt;• <em>Compliance Investigations (DAN 11-08-62584)</em>;&lt;br&gt;• <em>Patient Medical Records – Age 18 and Over (DAN 11-08-62561)</em>;&lt;br&gt;• <em>Patient Medical Records – Under Age 18 (DAN 11-08-62562).</em></td>
<td>Retain until no longer needed for agency business &lt;br&gt;then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
2. ASSET MANAGEMENT

The function of managing hospital and affiliated entities’ physical assets and infrastructure including buildings and facilities, equipment, and environmental exposure, where not covered by the State Government General Records Retention Schedule.

See the State Government General Records Retention Schedule for additional record series relating to disposal, hazardous waste/environmental management, inventory, leasing/usage, and maintenance.

2.1 DISPOSAL

The activity of disposing of the agency’s assets through sale or otherwise, where not covered by the State Government General Records Retention Schedule.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62513 Rev. 0</td>
<td>Decay In Storage</td>
<td>Retain for 3 years after date of final disposal then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the disposal of radioactive materials due to decay in storage pursuant to WAC 246-240-128. Note: WAC 246-240-584 requires the retention of records relating to the disposal of decay-in-storage radioactive material for 3 years.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62514 Rev. 0</td>
<td>Decay – Strontium-90</td>
<td>Retain for the life of the source then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records documenting the activity of strontium-90 sources, used to determine treatment times for ophthalmic treatments, pursuant to WAC 246-240-272. Note: WAC 246-240-602 requires the retention of records relating to the activity of strontium-90 sources used for ophthalmic treatments for the life of the source.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2.1 **DISPOSAL**

The activity of disposing of the agency’s assets through sale or otherwise, where not covered by the State Government General Records Retention Schedule.

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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62512 Rev. 0</td>
<td><strong>Radioactive Material – Disposal</strong></td>
<td>Retain until termination of last pertinent license or registration then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the disposal of byproduct or radiopharmaceutical material, including burials in soil.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Note: WAC 246-221-230(8)(a) requires the retention of records relating to disposal of radioactive material until termination of pertinent license or registration.</em></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 2.2 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62516 Rev. 0</td>
<td><strong>Radiation Source Inventories</strong></td>
<td>Retain for 3 years after date of inventory then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to semiannual physical inventories of sealed sources and brachytherapy sources pursuant to WAC 246-240-572.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> WAC 246-240-572 requires the retention of records relating to physical inventories of sealed sources and brachytherapy sources for 3 years.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62517 Rev. 0</td>
<td><strong>Radioactive Material – Acquisition/Transfer</strong></td>
<td>Retain for 3 years after disposal/transfer then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the acquisition or transfer of byproduct and/or radiopharmaceutical material.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> 10 CFR 30.51(a)(1) and (2) require the retention of records relating to the receipt or transfer of byproduct material for 3 years following transfer or disposal of the material.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 2.3 LEASING/USAGE

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62518 Rev. 0</td>
<td><strong>In-Home Equipment</strong></td>
<td>Retain for 8 years after equipment has been removed from patient residence, then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the provision and maintenance of hospital-owned equipment used in patient residences, including radioactive materials and surveys of associated equipment (mobile medical services). Note: WAC 246-240-581 requires the retention of letters permitting the use of radioactive material at a client’s address, and surveys of associated equipment, for 3 years after the last provision of service.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
</table>
| 11-08-62519 Rev. 0                  | **Calibration – Brachytherapy Sources**  
Records relating to the calibration of brachytherapy sources before medical use pursuant to WAC 246-240-269.  
*Note: WAC 246-240-599 requires the retention of records relating to the calibration of brachytherapy sources before medical use for 3 years.*  
| Retain for 3 years after last use of source  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL  
OPR |
| 11-08-62520 Rev. 0                  | **Calibration – Dosimetry Equipment**  
Records relating to the calibration, intercomparison, and comparisons of dosimetry equipment performed in accordance with WAC 246-240-366.  
*Note: WAC 246-240-611 requires the retention of records relating to the calibration, intercomparison, and comparisons of dosimetry equipment for the duration of the authorized user’s license.*  
| Retain for the duration of authorized user’s license  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL  
OPR |
| 11-08-62521 Rev. 0                  | **Calibration Expert Evaluations**  
Records relating to the evaluation of calibration experts by teletherapy licensees on behalf of the hospital.  
| Retain for 5 years after expert’s performance of last full calibration  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL  
OPR |
| 11-08-62522 Rev. 0                  | **Calibration Instructions – Image Receptors**  
Records relating to calibration instructions for image receptor equipment.  
| Retain until disposition of image receptor  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL  
OFM |
2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

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</table>
| 11-08-62523 Rev. 0                | **Equipment Calibration and Testing**
|                                   | Records relating to the calibration and/or testing of instruments and equipment used for the survey or administration of byproduct material *where not covered by a more specific record series*. Includes, but is not limited to:
|                                   | • Calibration of instruments used for quantitative radiation measurements in accordance with WAC 246-221-110(2);
|                                   | • Calibration of survey instruments in accordance with WAC 246-240-104;
|                                   | • Calibration of teletherapy units, remote afterloader units, and gamma stereotactic units in accordance with WAC 246-240-369;
|                                   | • Calibration of instruments used to measure the activity of unsealed radioactive material in accordance with WAC 246-240-101;
|                                   | • Records relating to testing of high radiation entry control devices in accordance with WAC 246-221-106(3).
|                                   | *Note: WAC 246-240-566 requires the retention of survey instrument calibration records for 3 years.*
|                                   | *Note: WAC 246-240-614 requires the retention of teletherapy unit, remote afterloader unit, and gamma stereotactic radiosurgery unit full calibrations for 3 years.*
|                                   | *Note: WAC 246-240-563 requires the retention of records of each calibration of instruments used to measure the activity of unsealed radioactive material for 3 years.* | Retain for 3 years after date of calibration/test then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
## 2.4 MAINTENANCE

*The activity of managing the use and maintenance of agency facilities and equipment.*

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<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>11-08-62524 Rev. 2</td>
<td><em>Equipment Sterilization/Infection Control</em> Records relating to the testing of facilities or equipment for infectious substances, and/or the sterilization of equipment or materials for medical use.</td>
<td>Retain for 8 years after date of sterilization then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62525 Rev. 0</td>
<td><em>Instructions – Manufacturer</em> Instructions supplied by manufacturers and kept by the licensee of any sealed source or brachytherapy source in accordance with 10 CFR 35.67(a).</td>
<td>Retain for duration of source use then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
| 11-08-62526 Rev. 0                | *Instructions/Procedures – Radiation Protection* 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).  

*Note: WAC 246-240-608 requires the retention of written procedures, safety instructions, and operating procedures for remote afterloader units, teletherapy units, and gamma stereotactic radiosurgery units until disposition of the unit.* | Retain for 3 years after disposition of equipment then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62527 Rev. 0                | *Radiation Machine Registrations* Records relating to the registration of radiation machines with the Department of Health in accordance with Chapter 246-224 WAC. | Retain for 6 years after termination of registration then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>11-08-62529 Rev. 0</td>
<td><strong>Surveys – Treatment Equipment</strong>&lt;br&gt;Records relating to radiation surveys of treatment equipment in accordance with WAC 246-240-390.&lt;br&gt;<strong>Note:</strong> WAC 246-240-629 requires the retention of records relating to radiation surveys of treatment units for the duration of use of the unit.</td>
<td>Retain for the duration of the use of the treatment unit then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62530 Rev. 0</td>
<td><strong>Teletherapy Calibration Calculations</strong>&lt;br&gt;Records relating to calibration inter-comparisons and comparisons of dosimetry equipment for teletherapy.</td>
<td>Retain until termination of equipment license then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62531 Rev. 0</td>
<td><strong>Teletherapy Five-Year/Source Replacement Inspections</strong>&lt;br&gt;Records relating to five-year inspections or servicing of teletherapy and gamma stereotactic radiosurgery units in accordance with WAC 246-240-393.&lt;br&gt;<strong>Note:</strong> WAC 246-240-632 requires the retention of records relating to five-year inspections for teletherapy and gamma stereotactic radiosurgery units for the duration of use of the unit.</td>
<td>Retain for the duration of the use of the unit then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62532 Rev. 0</td>
<td><strong>Teletherapy Source Installation Surveys</strong>&lt;br&gt;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 35.641.&lt;br&gt;<strong>Note:</strong> 10 CFR 35.641(c) requires the retention of records relating to teletherapy source installation radiation measurements for the duration of the license.</td>
<td>Retain until termination of equipment license then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
### 2.4 MAINTENANCE

The activity of managing the use and maintenance of agency facilities and equipment.

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<tbody>
<tr>
<td>11-08-62533 Rev. 0</td>
<td><strong>X-Ray/Electron Therapy Spot Checks</strong></td>
<td>Retain for 1 year after completion of spot check and for twice as long as spot check cycle, whichever is greater.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
|                                   | Records relating to spot check measurements of x-ray and electron therapy systems pursuant to WAC 246-225-130.  
*Note: WAC 246-225-130(2)(u)(iii)(H) requires the retention of records relating to spot checks of x-ray and electron therapy spot checks for one year or for twice as long as the spot check cycle, whichever is greater.* |                                                      |                          |
### 2.5 PURCHASING/ACQUISITION

The activity of acquiring assets through purchase or donation. Includes records documenting ownership of assets. See the State Government General Records Retention Schedule for record series relating to the purchasing/acquisition of agency assets.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62534 Rev. 0</td>
<td><strong>Acceptance Testing</strong></td>
<td>Retain until disposition of equipment then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>

Note: 21 CFR 1000.55(c)(2) requires the retention of purchase specifications and records of acceptance testing throughout the life of the equipment.
3. HEALTH CARE AND TREATMENT

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

See the State Government General Records Retention Schedule’s **HUMAN RESOURCE MANAGEMENT – Occupational Health and Safety** activity for additional records relating to employee/occupational health.

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

### 3.1 DIAGNOSTIC AND MEDICAL IMAGING

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62535 Rev. 3</td>
<td><strong>Diagnostic Imaging and Testing Records – Age 18 and Over</strong></td>
<td>Retain for 10 years after date of test or assessment then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>

Records relating to examinations, assessments, or tests performed in order to determine condition, disease, or injury, which may take the form of graphs, images, tracings, video, or other formats produced by diagnostic equipment. Also includes signed orders, requisitions, or other documented requests by providers for diagnostic tests and images to be performed, as well as reports, summaries, or other documentation of interpretations of diagnostic assessments.

Excludes records covered by:
- *Patient Medical Records – Age 18 and Over (DAN 11-08-62561)*;
- *Mammograms (DAN 11-08-62537)*;
- *Sleep Test Data (DAN 18-04-69204).*
## 3.1 DIAGNOSTIC AND MEDICAL IMAGING

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
</table>
| 11-08-62536 Rev. 3 | **Diagnostic Imaging and Testing Records – Under Age 18**  
Records relating to examinations, assessments, or tests performed in order to determine condition, disease, or injury, which may take the form of graphs, images, tracings, video, or other formats produced by diagnostic equipment. Also includes signed orders, requisitions, or other documented requests by providers for diagnostic tests and images to be performed, as well as reports, summaries, or other documentation of interpretations of diagnostic assessments.  
Excludes records covered by:  
- Patient Medical Records – Under Age 18 (DAN 11-08-62562);  
- Mammograms (DAN 11-08-62537);  
- Sleep Test Data (DAN 18-04-69204). | Retain for 10 years after patient attains age 18 then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62537 Rev. 3 | **Mammograms**  
X-ray images of the breast used primarily for diagnostic and screening purposes.  
Excludes records covered by:  
- Patient Medical Records – Age 18 and Over (DAN 11-08-62561);  
- Patient Medical Records – Under Age 18 (DAN 11-08-62562);  
- Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535);  
- Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536).  
Note: The Mammography Quality Standards Act (MQSA) Title 42, Chapter 6A, Subchapter II, Part F, subpart 3 (f)(G)(i)(I) requires the retention of mammograms for not less than 5 years, or not less than 10 years if no subsequent mammograms of such patient are performed at the facility. | Retain for 5 years after date of mammogram  
or  
10 years after patient’s last mammogram performed at the facility, whichever is longer then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 3.1 DIAGNOSTIC AND MEDICAL IMAGING

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-04-69204 Rev. 0</td>
<td><strong>Sleep Test Data</strong></td>
<td>Retain for 5 years after date of test then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>

- **Sleep Test Data**
  - Raw data collected from sleep tests.
  - Includes, but is not limited to:
    - Polysomnography (PSG) data;
    - Multiple Sleep Latency Testing (MSLT) data;
    - Maintenance of Wakefulness Testing (MWT) data;
    - Home Sleep Apnea Testing (HSAT) data.
  - Excludes records covered by:
    - *Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535)*;
    - *Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536)*.

*Note: Retention period required to meet the accreditation standards of the American Academy of Sleep Medicine.*
## 3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
</table>
| 11-08-62539 Rev. 0                 | Drug Logs – Therapeutic Leave  
Logs documenting the provision of prescription drugs to residents for consumption during leave away from the long term care/nursing facility pursuant to WAC 246-865-070(4). | Retain for 8 years after date of last entry then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62540 Rev. 0                 | Emergency Kit Drugs  
Records relating to the receipt and removal of drugs in emergency kits maintained by long term care/nursing facilities in accordance with WAC 246-865-030(4). | Retain for 6 years after date of receipt/removal then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62541 Rev. 2                 | Long Term Care Facility/Nursing Home Resident Medical Records – Age 18 and Over  
Records created by long term care facilities or nursing homes on a per-patient basis which document services provided to patients.  
*Note: see RCW 18.51.300.* | Retain for 8 years after last discharge then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62542 Rev. 2                 | Long Term Care Facility/Nursing Home Resident Medical Records – Under Age 18  
Records created by long term care facilities or nursing homes on a per-patient basis which document services provided to patients.  
*Note: see RCW 18.51.300.* | Retain for 10 years after last discharge or 3 years after patient attains age 18, whichever is longer then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 3.2 LONG TERM CARE/NURSING FACILITY MANAGEMENT

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>11-08-62543 Rev. 0</td>
<td><strong>Persons Seeking Admission</strong>&lt;br&gt;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.</td>
<td><strong>Retain</strong> for 1 year after date of last activity&lt;br&gt;then&lt;br&gt;<strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL&lt;br&gt;NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62544 Rev. 0</td>
<td><strong>Resident Administration</strong>&lt;br&gt;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”). Excludes long term care/nursing home patient records covered by 11-08-62541 or 11-08-62542.</td>
<td><strong>Retain</strong> for 1 year after death/discharge of resident&lt;br&gt;then&lt;br&gt;<strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL&lt;br&gt;NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62545 Rev. 0</td>
<td><strong>Resident Censuses</strong>&lt;br&gt;Records documenting census information and statistics about long term care/nursing residents.</td>
<td><strong>Retain</strong> until no longer needed for agency business&lt;br&gt;then&lt;br&gt;<strong>Transfer</strong> to Washington State Archives for appraisal and selective retention.</td>
<td>ARCHIVAL&lt;br&gt;(Appraisal Required)&lt;br&gt;NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62546 Rev. 0</td>
<td><strong>Resident In/Out Logs</strong>&lt;br&gt;Logs documenting residents signed in or out as they physically enter or leave the long term care/nursing facility.</td>
<td><strong>Retain</strong> for 3 years after last entry&lt;br&gt;then&lt;br&gt;<strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL&lt;br&gt;NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 3.3 PATIENT ADMINISTRATION

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tr>
<td>14-09-68534 Rev. 2</td>
<td><strong>Admitting and Registration</strong>&lt;br&gt;Records relating to the process of admitting, registering, and coordinating care in inpatient and outpatient settings. Includes utilization and case management records, census and patient health statistics, and patient safety and satisfaction surveys.&lt;br&gt;Excludes records covered by:&lt;br&gt;• <em>Patient Medical Records – Age 18 and Over</em> (DAN 11-08-62561);&lt;br&gt;• <em>Patient Medical Records – Under Age 18</em> (DAN 11-08-62562);&lt;br&gt;• <em>Referrals – To the Agency</em> (DAN 11-08-62552);&lt;br&gt;• <em>Referrals – Outside of the Agency</em> (DAN 11-08-62553).</td>
<td><strong>Retain</strong> for 10 years after date of document then <strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>16-12-69015 Rev. 0</td>
<td><strong>Clinic Business Operations</strong>&lt;br&gt;Records relating to the routine operations and coordination of care in physician’s offices, ambulatory clinics, and nursing units.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Patient resources;&lt;br&gt;• Patient appointments, schedules, and sign-in sheets;&lt;br&gt;• Office task lists, checklists, and worksheets;&lt;br&gt;• Staff signature lists.&lt;br&gt;Excludes records covered by <em>Staff Plans/Schedules</em> (DAN 11-08-62595).</td>
<td><strong>Retain</strong> for 8 years after end of calendar year or until superseded, whichever is longer then <strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
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</table>
### 3.3 PATIENT ADMINISTRATION

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

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</table>
| 18-04-69202 Rev. 0                  | **Emergency Response Records**  
Records relating to the preparation, coordination, and/or deployment of personnel and equipment for pre-hospital care and treatment in medical emergencies, including dispatch records.  
Excludes records incorporated into the Electronic Health Record, covered by:  
- *Patient Medical Records – Age 18 and Over* (DAN 11-08-62561);  
- *Patient Medical Records – Under Age 18* (DAN 11-08-62562).  | Retain for 3 years after end of calendar year  
then  
Destroy.  | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62547 Rev. 2                  | **Master Patient Index**  
Records documenting patient identification, registration, medical, and billing information for each individual registered at the hospital. Includes demographic data, encounter data, and admissions, discharge, transfer (ADT) data.  | Retain for the life of the agency  
then  
Transfer to Washington State Archives for appraisal and selective retention.  | ARCHIVAL (Appraisal Required) ESSENTIAL OPR |
| 11-08-62548 Rev. 0                  | **Maternity Registers**  
Registers of maternity cases at the hospital.  | Retain for 3 years after date of entry  
then  
Transfer to Washington State Archives for permanent retention.  | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM |
### 3.3 PATIENT ADMINISTRATION

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

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<tr>
<td>11-08-62549 Rev. 1</td>
<td><strong>Operative Indexes</strong>&lt;br&gt;Logs of surgical operations performed by the hospital and pertinent staff, equipment, or facility information.&lt;br&gt;<em>Note: The American Health Information Management Association (AHIMA) recommends the retention of operative indexes for 10 years.</em></td>
<td><strong>Retain</strong> for 10 years after date of entry&lt;br&gt;<strong>Then</strong>&lt;br&gt;<strong>Transfer</strong> to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention)&lt;br&gt;NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62551 Rev. 0</td>
<td><strong>Operative Scheduling/Assignments</strong>&lt;br&gt;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).&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Anesthesia/activity logs;&lt;br&gt;• Equipment schedules;&lt;br&gt;• Medical, nursing, anesthesia, and support staff schedules;&lt;br&gt;• Perfusion records.</td>
<td><strong>Retain</strong> for 8 years after date of operation&lt;br&gt;<strong>Then</strong>&lt;br&gt;<strong>Destroy.</strong></td>
<td>NON-ARCHIVAL&lt;br&gt;NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62552 Rev. 0</td>
<td><strong>Referrals – To the Agency</strong>&lt;br&gt;Pre-admission records relating to patients referred to the agency by outside providers.</td>
<td><strong>Retain</strong> until no longer needed for agency business&lt;br&gt;<strong>Then</strong>&lt;br&gt;<strong>Destroy.</strong></td>
<td>NON-ARCHIVAL&lt;br&gt;NON-ESSENTIAL OPR</td>
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</table>
### 3.3 PATIENT ADMINISTRATION

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

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</thead>
<tbody>
<tr>
<td>11-08-62553 Rev. 0</td>
<td><em>Referrals – Outside of the Agency</em></td>
<td>Retain for 2 years after date of receipt then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td></td>
<td>Records relating to agency referrals of patients to non-agency providers.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 3.4 PATIENT BILLING

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

<table>
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<tr>
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</thead>
</table>
| 11-08-62557 Rev. 1                | **Compliance – Uncompensated Care**  
Records documenting agency compliance with uncompensated care requirements of 42 CFR Part 124.510(b).  
Includes, but is not limited to:  
- Any documents from which the information required to be reported to Health and Human Services once every three fiscal years was obtained (see 42 CFR 124.510(a)(i));  
- Accounts which clearly segregate uncompensated services from other accounts;  
- Copies of written determinations of eligibility under 42 CFR Part 124.507. | **Retain** for 3 years after report submitted to Health and Human Services  
or  
180 days after close of Health and Human Services investigation, **whichever is longer**  
then  
**Destroy.** | NON-ARCHIVAL  
NON-ESSENTIAL  
OFM |
### 3.4 PATIENT BILLING

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

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<tr>
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<tbody>
<tr>
<td>11-08-62556 Rev. 1</td>
<td><strong>Patient Financial Records</strong>&lt;br&gt;Records relating to patient billing, the revenue cycle of payments and reimbursement claims by the healthcare provider to a third party payer, and the documentation to support these functions. Also may include records relating to financial assistance requested and/or granted. Includes, but is not limited to:&lt;br&gt;  - Applications for financial assistance (Medicaid/Medicare eligibility, Hill-Burton eligibility, etc.)&lt;br&gt;  - Medicaid/Medicare applications, questionnaires, billing records, and reimbursements;&lt;br&gt;  - Insurance and patient reimbursements;&lt;br&gt;  - Institutional and professional claims;&lt;br&gt;  - Patient billing statement (discharge);&lt;br&gt;  - Cost/Fee sheets and supporting documentation;&lt;br&gt;  - Facility Only Billing (FOB);&lt;br&gt;  - Reconciliations;&lt;br&gt;  - Audits;&lt;br&gt;  - Refunds;&lt;br&gt;  - Write-offs/charity;&lt;br&gt;  - Appeals;&lt;br&gt;  - Correspondence (patient and third party payer).</td>
<td><strong>Retain</strong> for 10 years after date of document <strong>then</strong> <strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 3.5 PATIENT MEDICAL RECORDS

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

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<tr>
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</thead>
</table>
| 11-08-62558 Rev. 2                | **Counseling Records – Age 18 and Over**  
Records documenting therapeutic techniques and services provided during counseling, therapy, or other mental/behavioral health treatment sessions.  
Includes, but is not limited to:  
- Progress notes, tests, and other analyses;  
- Medications;  
- Registrations, questionnaires, and other intake documents;  
- Logs, worksheets, and checklists;  
- Appointments and attendance sheets;  
- Consent and authorization forms.  
Excludes records covered by:  
- Psychotherapy Notes (DAN 16-12-69018);  
- Patient Medical Records – Age 18 and Over (DAN 11-08-62561). | Retain for 10 years after individual’s last visit then Destroy. | NON-ARCHIVAL ESSENTIAL OFM |
### 3.5 PATIENT MEDICAL RECORDS

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

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<tr>
<td>16-12-69016 Rev. 0</td>
<td><strong>Counseling Records – Under Age 18</strong>&lt;br&gt;Records documenting therapeutic techniques and services provided during counseling, therapy, or other mental/behavioral health treatment sessions. Includes, but is not limited to:&lt;br&gt;• Progress notes, tests, and other analyses;&lt;br&gt;• Medications;&lt;br&gt;• Registrations, questionnaires, and other intake documents;&lt;br&gt;• Logs, worksheets, and checklists;&lt;br&gt;• Appointments and attendance sheets;&lt;br&gt;• Consent and authorization forms.&lt;br&gt;Excludes records covered by:&lt;br&gt;• <em>Psychotherapy Notes (DAN 16-12-69018)</em>;&lt;br&gt;• <em>Patient Medical Records – Under Age 18 (DAN 11-08-62562).</em></td>
<td>Retain for 10 years after individual attains age 18 then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OFM</td>
</tr>
<tr>
<td>18-04-69201 Rev. 0</td>
<td><strong>Emergency Care Records</strong>&lt;br&gt;Records relating to pre-hospital care and treatment provided during a medical emergency and/or during transportation to a medical facility. Includes patient care reports, images, tests, and drug administration records.&lt;br&gt;Excludes records incorporated into the Electronic Health Record, covered by:&lt;br&gt;• <em>Patient Medical Records – Age 18 and Over (DAN 11-08-62561)</em>;&lt;br&gt;• <em>Patient Medical Records – Under Age 18 (DAN 11-08-62562).</em></td>
<td>Retain for 8 years after end of calendar year then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
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</table>
### 3.5 PATIENT MEDICAL RECORDS

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

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</table>
| 18-04-69200 Rev. 0               | **Durable Medical Equipment, Prosthetics, Orthotics, and Supplies**  
Records relating to the process of ordering and furnishing durable medical equipment, prosthetics, orthotics, and/or supplies, which includes, if applicable, adjusting, replacing, and/or otherwise maintaining furnished items.  
Includes, but is not limited to:  
• Certificates of Medical Necessity;  
• Delivery tickets;  
• DME information forms;  
• Prescription, orders, or requests for items.  
Excludes records incorporated into the Electronic Health Record, covered by:  
• *Patient Medical Records – Age 18 and Over* (DAN 11-08-62561);  
• *Patient Medical Records – Under Age 18* (DAN 11-08-62562).  
*Note: 42 CFR 424.516(f) requires the retention of these records for seven years.* | Retain for 7 years after date of service  
then  
Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 3.5 PATIENT MEDICAL RECORDS

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

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</table>
| 11-08-62559 Rev. 2 | **Interpretation Services**  
Records relating to the arrangement and delivery of language interpretation during the provision of health care.  
Includes, but is not limited to:  
- Requests for interpreters;  
- Schedules;  
- Daily logs and staff encounter sheets;  
- Appointment and clinic confirmations;  
- Encounter documentation.  
Excludes records covered by:  
- *Patient Medical Records – Age 18 and Over* (DAN 11-08-62561);  
- *Patient Medical Records – Under Age 18* (DAN 11-08-62562). | Retain for 1 year after end of calendar year  
then  
Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62560 Rev. 2 | **Organ Transplant Records – Age 18 and Over**  
Records relating to pre- and post-transplant activities performed and documented by a transplant program or center.  
Includes, but is not limited to:  
- Transplant candidate evaluations, registrations, and waiting lists;  
- Donor health questionnaires and screening records;  
- Pre- and post-transplant assessments of organs.  
Excludes records covered by *Patient Medical Records – Age 18 and Over* (DAN 11-08-62561). | Retain for 10 years after date of transplant procedure  
then  
Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 3.5 PATIENT MEDICAL RECORDS

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

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| 16-12-69017 Rev. 0                 | **Organ Transplant Records – Under Age 18**  
Records relating to pre- and post-transplant activities performed and documented by a transplant program or center.  
Includes, but is not limited to:  
• Transplant candidate evaluations, registrations, and waiting lists;  
• Donor health questionnaires and screening records;  
• Pre- and post-transplant assessments of organs.  
Excludes records covered by *Patient Medical Records – Under Age 18 (DAN 11-08-62562).* | Retain for 10 years after candidate/donor attains age 18 then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 13-06-68447 Rev. 0                 | **Outside Medical Records – Not Used**  
Medical Records received from non-affiliated hospitals, clinics or healthcare providers for continuity of care that are not requested or determined to be inapplicable, and are not incorporated or uploaded into the UW Medicine medical or imaging records system(s). | Retain for until no longer needed for agency business then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62561 Rev. 3                 | **Patient Medical Records – Age 18 and Over**  
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.  
Includes, but is not limited to:  
• Diagnostic, medical, and/or imaging reports or interpretations;  
• Medication administration records;  
• Patient treatment history. | Retain for 10 years after last provision of health-related services then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
### 3.5 PATIENT MEDICAL RECORDS

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

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<td>11-08-62562 Rev. 3</td>
<td><strong>Patient Medical Records – Under Age 18</strong>&lt;br&gt;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. Includes, but is not limited to:&lt;br&gt;• Diagnostic, medical, and/or imaging reports or interpretations;&lt;br&gt;• Medication administration records;&lt;br&gt;• Patient treatment history.</td>
<td>Retain for 10 years after last provision of health-related services or 3 years after patient attains age 18, whichever is longer then&lt;br&gt;Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>16-12-69018 Rev. 0</td>
<td><strong>Psychotherapy Notes</strong>&lt;br&gt;Raw data (e.g., audio/video recordings, hand written notes) created to document or analyze counseling, therapy, or other mental/behavioral health treatment sessions. These data are kept separately from counseling records and/or patient medical records. Includes, but is not limited to:&lt;br&gt;• Details of fantasies and dreams;&lt;br&gt;• Process interactions;&lt;br&gt;• Intimate personal information. Excludes records covered by:&lt;br&gt;• Counseling Records – Age 18 and Over (DAN 11-08-62558);&lt;br&gt;• Counseling Records – Under Age 18 (DAN 16-12-69016);&lt;br&gt;• Patient Medical Records – Age 18 and Over (DAN 11-08-62561);&lt;br&gt;• Patient Medical Records – Under Age 18 (DAN 11-08-62562).</td>
<td>Retain until no longer needed for agency business then&lt;br&gt;Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
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</table>
### 3.5 PATIENT MEDICAL RECORDS

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

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| 18-04-69205 Rev. 0                | **Treatment/Care Planning Data**  
Records relating to a projected sequence of treatment procedures, as well as quantitative and methodological information used to develop individualized treatment or care plans or strategies. Includes diagrams, simulations, dosing calculations, and functional measurements.  
Excludes records covered by:  
- **Diagnostic Imaging and Testing Records – Age 18 and Over (DAN 11-08-62535);**  
- **Diagnostic Imaging and Testing Records – Under Age 18 (DAN 11-08-62536);**  
- **Patient Medical Records – Age 18 and Over (DAN 11-08-62561);**  
- **Patient Medical Records – Under Age 18 (DAN 11-08-62562);**  
- **Counseling Records – Age 18 and Over (DAN 11-08-62558);**  
- **Counseling Records – Under Age 18 (DAN 16-12-69016).** | Retain for 10 years after date of plan then Destroy. | NON-ARCHIVAL ESSENTIAL OFM |
3.6 RADIATION PROTECTION PROGRAM

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

<table>
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<tr>
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</thead>
</table>
| 11-08-62564 Rev. 0                | **Brachytherapy Source Accountability**
Records documenting information pertinent to licensees’ accountability for brachytherapy sources in storage, transport, or use pursuant to WAC 246-240-260.
Includes, but is not limited to documentation of:
- 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;
- 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;
- Number and activity of sources permanently implanted in the patient or human research subject.
Note: WAC 246-240-596 requires the retention of records documenting licensees’ accountability for brachytherapy sources for 3 years after disposal of the source. | Retain for 3 years after disposal of source then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |

| 11-08-62565 Rev. 0                | **Byproduct Misadministration**
Records relating to the misadministration of byproduct material or radiation from byproduct material.
Includes, but is not limited to:
- Doses that differ from the prescribed dose by twenty percent or more;
- Doses that exceed dose equivalents;
- Doses to skin, an organ, or tissue other than the treatment site. | Retain for 8 years after date of event then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
### 3.6 RADIATION PROTECTION PROGRAM

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62566 Rev. 0</td>
<td><strong>Occupational and Public Dose/Exposure – Reports</strong>&lt;br&gt;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.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• 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;&lt;br&gt;• Records of doses received during planned special exposures, accidents, and/or emergency conditions;&lt;br&gt;• Specific information used to calculate the committed effective dose equivalent pursuant to WAC 246-221-040(3);&lt;br&gt;• 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;&lt;br&gt;• Results of measurements and calculations used to determine individual intakes of radioactive material used in the assessment of internal dose;&lt;br&gt;• Records showing results of air sampling, surveys, and bioassays required pursuant to WAC 246-221-117;&lt;br&gt;• Results of measurements and calculations used to evaluate the release of radioactive effluents to the environment.</td>
<td>Retain for 30 years after termination of last pertinent license or registration then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 3.6 RADIATION PROTECTION PROGRAM

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

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<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62567 Rev. 0</td>
<td><strong>Occupational and Public Dose/Exposure – Working Files</strong></td>
<td>Retain for 3 years after completion of report then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records used to prepare Department of Health Form RHF-4 and/or RHF-4A, or equivalent</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>as required in WAC 246-221-230(9)(b).</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Note: WAC 246-221-230(9) requires the retention of public dose/exposure working files for three years after date of document.</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62568 Rev. 0</td>
<td><strong>Patient Releases – Radiation</strong></td>
<td>Retain for 3 years after patient release then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the release of individuals containing unsealed radioactive material or implants containing radioactive material as in accordance with WAC 246-240-122.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Note: WAC 246-240-578 requires the retention of records relating to the release of individuals containing unsealed radioactive material or implants for 3 years.</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62569 Rev. 0</td>
<td><strong>Program Approvals/Changes</strong></td>
<td>Retain for 5 years after date of document/approval then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62570 Rev. 0</td>
<td><strong>Public Dose Limit Compliance</strong></td>
<td>Retain until termination of last pertinent license or registration then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 3.6 RADIATION PROTECTION PROGRAM

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62571 Rev. 0</td>
<td>Radiation Doses</td>
<td>Retain for 3 years after administration of dose then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the administration of radiation doses for which written directives are required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62572 Rev. 0</td>
<td>Radiopharmaceutical Assays</td>
<td>Retain for 2 years after date of assay then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td></td>
<td>Records relating to assays of radiopharmaceuticals.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62573 Rev. 0</td>
<td>Source Surveys and Tests</td>
<td>Retain for 3 years after date of survey/measurement then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td></td>
<td>Records relating to the survey and/or testing of byproduct sources or byproduct source doses.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes, but is not limited to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Surveys of implanted brachytherapy sources in accordance with 10 CFR 35.406(d);</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Byproduct dose activity measurements performed in accordance with WAC 246-240-107;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Leak test records of sealed or brachytherapy sources performed in accordance with WAC 246-240-113(1);</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Radiopharmaceutical concentration testing of molybdenum-99, strontium-82, and/or strontium-85 in accordance with WAC 246-240-160.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 3.6 RADIATION PROTECTION PROGRAM

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

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<tr>
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<tbody>
<tr>
<td>11-08-62574 Rev. 0</td>
<td><strong>Surveys — General</strong></td>
<td>Retain for 3 years after date of survey then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>

**Surveys — General**

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.

Includes, but is not limited to:

- Ambient radiation exposure surveys performed in accordance with WAC 246-240-119;
- General surveys as required by WAC 246-221-110 and/or 246-220-040;
- Hot lab surveys;
- Mobile medical services surveys performed in accordance with WAC 246-240-125(1)(b) and/or 246-240-125(1)(d);
- Mobile nuclear medicine surveys;
- Package surveys as required in WAC 246-221-160;
- 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;
- Working reception surveys.
### 3.6 RADIATION PROTECTION PROGRAM
The activity relating to compliance with laws and regulations governing the receipt, preparation, use, or storage of radioactive material in hospital facilities.

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<tr>
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</thead>
</table>
| 11-08-62575 Rev. 0                 | **Written Directives – Authorizations**  
Written directives from authorized users for the administration of certain radioactive material as required by WAC 246-240-060.
*Note: WAC 246-240-557 requires the retention of written directives for the administration of radioactive material for 3 years.* | Retain for 3 years after date of directive then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62576 Rev. 0                 | **Written Directives – Doses**  
Records relating to the administration of radiation doses for which written directives are required. | Retain for 3 years after administration of dose then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-08-62577 Rev. 0                 | **Written Directives – Procedures**  
Procedures for any administration of radioactive material requiring a written directive pursuant to WAC 246-240-063.
*Note: WAC 246-240-560 requires the retention of procedures for any administration of radioactive material requiring a written directive for the duration of the authorized user’s license.* | Retain for the duration of the authorized user’s license then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
4. HOSPITAL SUPPORT SERVICES

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

*See the State Government General Records Retention Schedule for additional community relations records.*

### 4.1 FOOD SERVICES

*The activity of providing food services for patients, staff, and the public.*

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62579 Rev. 1</td>
<td><em>Menus – Cafeteria</em></td>
<td>Retain for 1 year after last date menu offered then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td></td>
<td>Records relating to menus for hospital cafeterias.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62581 Rev. 2</td>
<td><em>Patient Meals</em></td>
<td>Retain for 3 years after end of calendar year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the provision of meals to patients by kitchen staff including patient-specific dietary orders or requests, menus, and meal counts. Excludes records incorporated into the Electronic Health Record, covered by:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• <em>Patient Medical Records – Age 18 and Over</em> (DAN 11-08-62561);</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• <em>Patient Medical Records – Under Age 18</em> (DAN 11-08-62562).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 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.

<table>
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<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</thead>
<tbody>
<tr>
<td>14-12-68725 Rev. 1</td>
<td>Clinical Accreditation</td>
<td>Retain for 6 years after accreditation, certificate, or licensure ends or until superseded by new accreditation, whichever is longer then Transfer to Washington State Archives for appraisal and selective retention.</td>
<td>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the process of requesting or maintaining a national, state, or other mandatory or voluntary accreditation, certificate, or license, and the documentation related to the approval or denial. Includes, but is not limited to: • Questionnaires and surveys; • Planning documents; • Policies and procedures; • Performance measures; • Statistics.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62591 Rev. 1</td>
<td>Clinical Guidelines and Protocols</td>
<td>Retain for 8 years after obsolete or superseded then Transfer to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the UW Medicine produced clinical guidelines and/or protocols for the assessment and treatment of particular conditions.</td>
<td></td>
<td></td>
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### 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.

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</table>
| 11-08-62584 Rev. 2               | **Compliance Investigations**  
Records relating to the discovery, assessment, management and response to alleged violations of federal or state laws and regulations. This includes unauthorized access, disclosure, modification, and destruction of confidential information (e.g. PII & PHI), and billing, privacy, Emergency Medical Treatment and Labor Act (EMTALA), and other investigations and audits. Includes all records of electronic and physical format. Excludes records covered by:  
- **Computer Forensic Investigations (DAN 18-04-69199).** | Retain for 10 years after end of investigation  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL OPR |
| 11-08-62586 Rev. 2               | **Compliance Training**  
Records relating to compliance training programs provided by the agency. Includes, but is not limited to, curricula, worksheets, presentations, planning materials, attendance, and/or transcripts. | Retain for 10 years after superseded  
then  
Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL  
(Appraisal Required)  
NON-ESSENTIAL OPR |
| 18-04-69199 Rev. 0               | **Computer Forensic Investigations**  
Records relating to the acquisition, examination, analysis, and reporting of digital evidence found in computers and digital storage media. Excludes records covered by:  
- **Compliance Investigations (DAN 11-08-62584);**  
- **Information Security Records (DAN 14-09-68535).** | Retain for 8 years after end of investigation  
then  
Destroy. | 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.

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</thead>
</table>
| 14-09-68535 Rev. 0                | **Information Security Records**
|                                   | Raw data such as files, logs, or electronic content created to monitor the organization’s enterprise computer systems, used to assess and identify potential or actual security incidents.
|                                   | Includes, but is not limited to:
|                                   |   - Security logs;
|                                   |   - Firewall logs;
|                                   |   - System file use data;
|                                   |   - System activity data;
|                                   |   - User activity data;
|                                   |   - Anti-virus data.
|                                   | Excludes security incidents that warrant further investigations. | Retain for 1 year after end of calendar year then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 14-12-68726 Rev. 0                | **Medical Equipment Records**
|                                   | Records relating to medical equipment preparedness, used to ensure the equipment’s safety and efficiency, maintenance history, and that supplies and equipment are ready and available.
|                                   | Includes, but is not limited to:
|                                   |   - Emergency equipment checklists;
|                                   |   - User tests. | Retain for 8 years after end of calendar year then Destroy. | 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.

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</thead>
<tbody>
<tr>
<td><strong>11-08-62587</strong> Rev. 1</td>
<td><strong>Medical Staff Credentialing/Privileging</strong></td>
<td>Retain for 8 years after termination of employment then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
| 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 records covered by:  
  - Personnel Record Folders, Non-Retired Employees (DAN GS 03001);  
  - Personnel Record Folders, Retired Employees (DAN GS 03041);  
  - Personnel Records (DAN GS 03042).  
Note: RCW 70.41.220 requires the retention of records relating to decisions to restrict or terminate privileges of practitioners. |
| **11-08-62582** Rev. 2             | **Patient Medical Records – Authorized Disclosures and Amendments** | Retain for 7 years after date of disclosure or amendment then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| Records relating to authorized access to and disclosures of medical records and other personal health information, including release of information. Also includes records relating to requests and responses to changes and amendments to medical records and other personal health information. Excludes changes and amendments that have become part of the patient medical record covered by:  
  - Patient Medical Records – Age 18 and Over (DAN 11-08-62561);  
  - Patient Medical Records – Under Age 18 (DAN 11-08-62562). |
## 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.

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<tbody>
<tr>
<td>16-03-68951 Rev. 1</td>
<td><strong>Quality Assurance Records – Age 18 and Over</strong>&lt;br&gt;Records relating to quality improvement and patient safety in health care services, and the identification and prevention of medical malpractice.&lt;br&gt;Excludes records covered by <em>Medical Staff Credentialing/Privileging (DAN 11-08-62587)</em>.</td>
<td>Retain for 8 years after end of calendar year or date of final report, whichever is longer then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>16-03-68952 Rev. 1</td>
<td><strong>Quality Assurance Records – Under Age 18</strong>&lt;br&gt;Records relating to quality improvement and patient safety in health care services, and the identification and prevention of medical malpractice.&lt;br&gt;Excludes records covered by <em>Medical Staff Credentialing/Privileging (DAN 11-08-62587)</em>.</td>
<td>Retain for 26 years after end of calendar year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62590 Rev. 0</td>
<td><strong>Radiation Protection Program Audits and Reviews</strong>&lt;br&gt;Records relating to audits and reviews of radiation protection program content and implementation as required by WAC 246-221-005.&lt;br&gt;Note: WAC 246-221-230(9)(e) requires the retention of radiation protection program audit and review records for 3 years.</td>
<td>Retain for 3 years after completion of audit/revision then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
# 4.3 REPORTING

The activity of reporting information to external agencies or organizations.

<table>
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<tr>
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</tr>
</thead>
</table>
| 11-08-62592 Rev. 0 | **Baptismal Registries**  
Logs or registries documenting baptisms performed in the hospital. | Retain until no longer needed for agency business  
then  
Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention)  
NON-ESSENTIAL OPR |
| 11-08-62593 Rev. 0 | **Birth/Death Registers**  
Registers documenting summary information about births or deaths which have occurred in the hospital. | Retain until no longer needed for agency business  
then  
Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention)  
NON-ESSENTIAL OPR |
| 11-08-62594 Rev. 0 | **Vital Statistics Supporting Documentation**  
Records relating to the reporting of vital events/statistics to the Washington State Department of Health. | Retain for 1 year after vital event reported to Washington State Department of Health  
then  
Destroy. | NON-ARCHIVAL  
NON-ESSENTIAL OPR |
5. HUMAN RESOURCE MANAGEMENT

The function of managing the hospitals’ workforce, where not covered by the State Government General Records Retention Schedule.

5.1 PERFORMANCE MANAGEMENT

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62596 Rev. 1</td>
<td><strong>Physician Call Schedules</strong></td>
<td>Retain for 5 years after superseded</td>
<td>NON-ARCHIVAL</td>
</tr>
<tr>
<td></td>
<td>Schedules documenting on-call schedules for hospital physicians.</td>
<td>then</td>
<td>NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td></td>
<td>Excludes records covered by Staff Plans/Schedules (DAN 11-08-62595).</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Note: 42 CFR 489.20(r)(1-3) requires the retention of physician on-call schedules.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62597 Rev. 0</td>
<td><strong>Radiation Safety Officer</strong></td>
<td>Retain until termination/expiration of medical use license</td>
<td>NON-ARCHIVAL</td>
</tr>
<tr>
<td></td>
<td>Records relating to the authority, duties, and responsibilities of the radiation safety officer.</td>
<td>then</td>
<td>NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Note: WAC 246-240-551(2) requires the retention of records relating to the authority, duties, and responsibilities of radiation safety officers until termination/expiration of medical use license.</td>
<td>Destroy</td>
<td></td>
</tr>
<tr>
<td>11-08-62595 Rev. 3</td>
<td><strong>Staff Plans/Schedules</strong></td>
<td>Retain for 4 years after end of calendar year</td>
<td>NON-ARCHIVAL</td>
</tr>
<tr>
<td></td>
<td>Staff plans, daily assignments, and other scheduling records for nurses, social workers, and/or other medical staff.</td>
<td>then</td>
<td>NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Excludes records covered by Physician Call Schedules (DAN 11-08-62596).</td>
<td>Destroy</td>
<td></td>
</tr>
</tbody>
</table>
### 5.2 PERSONNEL

The activity of documenting and individual’s employment with the agency. Includes volunteers.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</thead>
</table>
| 11-08-62598 Rev. 1                | **Blood/Tissue Bank Employees**  
Quality assurance and training records relating to blood/tissue bank employees.  
Excludes records covered by:  
- Personnel Record Folders, Non-Retired Employees (DAN GS 03001);  
- Personnel Record Folders, Retired Employees (DAN GS 03041);  
- Personnel Records (DAN GS 03042).  

*Note: The College of American Pathologists recommends the retention of blood bank records relating to employees for 10 years.* | **Retain** for 10 years after termination of employment then **Destroy**. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 18-04-69203 Rev. 0                | **Medical Residents, Fellows, and Interns**  
Records relating to participants in a residency, fellowship, or internship program. Includes, but is not limited to, application materials, letters of recommendation, appointments, evaluations, and certificates of completion. | **Retain** for 60 years after completion of or withdrawal from program, then **Destroy**. | NON-ARCHIVAL NON-ESSENTIAL OFM |
## 5.3 STAFF DEVELOPMENT/TRAINING

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62599 Rev. 0</td>
<td><strong>Instruction/Training – Occupational Doses</strong></td>
<td>Retain until no longer needed for agency business then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
|                                   | 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.  
*Note: WAC 246-222-030(2) requires the retention of records relating to worker receipt of instructions regarding occupational doses of radiation until further notice from Washington State Department of Health.* |                                                                       |                                   |
| 11-08-62600 Rev. 0                | **Instruction/Training – Radiation Protection**                                       | Retain for 3 years after date instruction completed then Destroy.     | NON-ARCHIVAL NON-ESSENTIAL OPR    |
|                                   | 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.  
*Note: WAC 246-240-590 requires the retention of records of safety instruction for 3 years.* |                                                                       |                                   |
| 11-08-62601 Rev. 0                | **Medical Use Licenses**                                                              | Retain for 8 years after termination of employment then Destroy.      | NON-ARCHIVAL ESSENTIAL OPR        |
|                                   | Records relating to byproduct material medical use licenses obtained by individuals in accordance with 10 CFR 35.11.  
Includes, but is not limited to:  
- Byproduct material medical use licenses;  
- Radioactive materials general and specific licenses. |                                                                       |                                   |
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.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>11-08-62602 Rev. 0</td>
<td>Accession/Test Logs</td>
<td>Retain for 2 years after date of entry then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62603 Rev. 0</td>
<td>Immunohematology – Non-Transfusion Related</td>
<td>Retain for 2 years after date of document then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to patient testing and quality control for non-transfusion services, including instrument function checks, maintenance, and temperature records. Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of non-transfusion related immunohematology records for at least 2 years.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 6.1 LABORATORY (GENERAL)

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

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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62604 Rev. 0</td>
<td><strong>Immunohematology – Transfusion Related</strong></td>
<td>Retain for 5 years after records of processing completed and 6 months after latest expiration date for individual product, whichever is longer.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>

*Note: 42 CFR 493.1105(a)(3)(ii) requires the retention of transfusion-related immunohematology records for 5 years after records of processing are completed, or 6 months after the latest expiration date for individual product, whichever is longer.*
### 6.1 LABORATORY (GENERAL)

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

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<tbody>
<tr>
<td>11-08-62606 Rev. 1</td>
<td><strong>Quality Control and Assurance – Non-Transfusion Services</strong>&lt;br&gt;Records relating to quality control programs for non-transfusion services enacted to ensure that accurate test results are reported.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;  - Performance specifications;&lt;br&gt;  - Requisitions;&lt;br&gt;  - Instrument documentation;&lt;br&gt;  - Specimen identification and tracking records.&lt;br&gt;Excludes:&lt;br&gt;  - Laboratory specimens;&lt;br&gt;  - Records covered by Quality Control and Assurance – Transfusion Services (DAN 11-08-62605).&lt;br&gt;Note: WAC 246-338-070 requires the retention of non-transfusion quality control and assurance records for 2 years.</td>
<td><strong>Retain</strong> for 2 years after conclusion of quality control testing <strong>then Destroy.</strong></td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 6.1 LABORATORY (GENERAL)

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

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<tr>
<td>11-08-62605 Rev. 1</td>
<td><strong>Quality Control and Assurance – Transfusion Services</strong></td>
<td>Retain for 5 years after conclusion of quality control testing then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to medical test site quality control programs for transfusion services. Includes, but is not limited to:</td>
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<tr>
<td></td>
<td>• Performance specifications;</td>
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<td>• Requisitions;</td>
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<td></td>
<td>• Instrument documentation;</td>
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<tr>
<td></td>
<td>• Specimen identification and tracking records.</td>
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<td></td>
<td>Excludes:</td>
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<tr>
<td></td>
<td>• Laboratory specimens;</td>
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<tr>
<td></td>
<td>• Records covered by Quality Control and Assurance – Non-Transfusion Services (DAN 11-08-62606).</td>
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<tr>
<td></td>
<td><em>Note: WAC 246-338-070 requires the retention of transfusion services quality control and assurance records for 5 years.</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11-08-62607 Rev. 0</td>
<td><strong>Test Procedures</strong></td>
<td>Retain for 2 years after procedure has been discontinued then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to test procedures implemented by the laboratory in accordance with 42 CFR 493.1105</td>
<td></td>
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</tr>
<tr>
<td></td>
<td><em>Note: WAC 246-338-070, the Clinical Laboratory Improvement Amendments (CLIA), and the College of American Pathologists require or recommend the retention of test procedures for 2 years.</em></td>
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</tbody>
</table>
### 6.1 LABORATORY (GENERAL)

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

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</thead>
<tbody>
<tr>
<td>11-08-62608 Rev. 1</td>
<td>Test Reports – General</td>
<td>Retain for 2 years after examination of the slide then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
</tbody>
</table>
|                                     | Reports and results for specimens tested or examined by a pathologist and where not covered by a more specific series. Excludes records covered by:  
  - Test Reports – Pathology (DAN 11-08-62609);  
  - Test Reports – Transfusion Services (DAN 11-08-62610).  
  Note: WAC 246-338-070 and the Clinical Laboratory Improvement Amendments (CLIA) require the retention of general test reports for 2 years. | | |
| 11-08-62609 Rev. 1                  | Test Reports – Pathology | Retain for 10 years after date of report then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
|                                     | Final, preliminary, and corrected reports for pathology tests, including cytology, histopathology, and oral pathology reports. Excludes records covered by:  
  - Test Reports – General (DAN 11-08-62608);  
  - Test Reports – Transfusion Services (DAN 11-08-62610).  
  Note: WAC 246-338-070 requires the retention of pathology test reports for 10 years. | | |
### 6.1 LABORATORY (GENERAL)

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

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</table>
| 11-08-62610 Rev. 1                | **Test Reports – Transfusion Services**  
Reports and results for transfusion-related specimens tested/examined by a pathologist.  
Excludes records covered by:  
- Test Reports – General (DAN 11-08-62608);  
- Test Reports – Pathology (DAN 11-08-62609).  
*Note: WAC 246-338-070 requires the retention of transfusion services reports for 5 years.* | Retain for 5 years after date of report/results then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
| 11-08-62611 Rev. 0                | **Transfusion Services – General Administration**  
Records relating to the provision of transfusion services.  
Includes, but is not limited to:  
- Test requisitions or equivalent;  
- Test records and reports;  
- Quality control and assurance.  
*Note: WAC 246-338-070 requires the retention of records relating to transfusion services for 5 years.* | Retain for 5 years after conclusion of transfusion/testing then Destroy. | 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.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>11-08-62612 Rev. 0</td>
<td><strong>Donors – Deferred</strong></td>
<td>Retain for the life of the agency then Transfer to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62613 Rev. 0</td>
<td><strong>Donors/Recipients – General</strong></td>
<td>Retain for 10 years after final donation/receipt then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62614 Rev. 0</td>
<td><strong>Donors/Recipients – Specimens</strong></td>
<td>Retain for 7 days after transfusion then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>

Note: The College of American Pathologists recommends the indefinite retention of blood bank records relating to indefinitely deferred donors, permanently deferred donors, or donors placed under surveillance.

Note: The College of American Pathologists recommends the indefinite retention of blood bank records relating to donors who have been indefinitely deferred, permanently deferred, or placed under surveillance for the recipient’s protection.

Note: The College of American Pathologists recommends the retention of blood bank records relating to donors and recipients for 10 years.

Note: The College of American Pathologists recommends the retention of blood bank records relating to specimens from blood donors and recipients for 7 days post-transfusion.
### 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.

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<tbody>
<tr>
<td>11-08-62615 Rev. 0</td>
<td><em>Quality Control (Blood/Tissue Banks)</em></td>
<td>Retain for 5 years after conclusion of quality control testing then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to quality control measures enacted in blood/tissue banks.</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>Note: The College of American Pathologists recommends the retention of blood bank records relating to quality control for 5 years.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 6.3 CYTOGENETICS

The activity of conducting cytogenetic analysis to determine diagnosis.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</thead>
<tbody>
<tr>
<td>11-08-62616 Rev. 0</td>
<td><strong>Diagnostic Images and Final Reports (Cytogenetics)</strong>&lt;br&gt;Final reports and diagnostic images relating to cytogenetic examinations.&lt;br&gt;Note: The College of American Pathologists recommends the retention of cytogenetics diagnostic images and final reports for 20 years.</td>
<td>Retain for 20 years after date of report then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62617 Rev. 0</td>
<td><strong>Gated Dot Plots/Histograms</strong>&lt;br&gt;Records relating to gated dot plots and histograms used for flow cytometry.&lt;br&gt;Note: The College of American Pathologists recommends the retention of cytogenetics flow cytometry for 10 years.</td>
<td>Retain for 10 years after examination then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
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</tr>
<tr>
<td>11-08-62618 Rev. 0</td>
<td>Accession Logs&lt;br&gt;Records documenting the receipt and management of specimens received for forensic examination. Note: The College of American Pathologists recommends the retention of forensic autopsy accession logs indefinitely.</td>
<td>Retain for the life of the agency then Transfer to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62619 Rev. 0</td>
<td>Cytology Reports&lt;br&gt;Reports relating to cytology examinations. Note: WAC 246-338-070 requires the retention of cytology report for 10 years.</td>
<td>Retain for 10 years after date of report then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62620 Rev. 0</td>
<td>Gross Injury/Trauma Photographs and Negatives&lt;br&gt;Records relating to photographs and/or negatives of gross injuries or trauma. Note: The College of American Pathologists recommends the retention of gross negatives and photographs indefinitely.</td>
<td>Retain for the life of the agency then Transfer to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 6.4 FORENSIC PATHOLOGY

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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</thead>
<tbody>
<tr>
<td>11-08-62621 Rev. 0</td>
<td><strong>Test Reports – Forensic</strong>&lt;br&gt;Final reports and slides relating to forensic autopsy examinations.&lt;br&gt;Note: The College of American Pathologists recommends the retention of forensic reports and slides indefinitely.</td>
<td>Retain for the life of the agency then Transfer to Washington State Archives for permanent retention.</td>
<td>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
## 7. PHARMACY MANAGEMENT

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

### 7.1 ADMINISTRATION

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>11-08-62624 Rev. 0</td>
<td><strong>Batch Data</strong>&lt;br&gt;Records relating to laboratory data on each batch of drug received in accordance with WAC 246-895-150.</td>
<td>Retain for 50 years after completion/cessation of batch distribution then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62622 Rev. 2</td>
<td><strong>Patient Profile and Medication Records – Age 18 and Over</strong>&lt;br&gt;Records relating to the filling and dispensing of medication for each patient age 18 and over receiving prescription medication from the pharmacy. Includes, but is not limited to:&lt;br&gt;• Client details;&lt;br&gt;• Parenteral products dispensed;&lt;br&gt;• Dates and details of dispensations;&lt;br&gt;• Pharmacist identification;&lt;br&gt;• Client notes, diagnoses, and conditions;&lt;br&gt;• Prescription and refill records.</td>
<td>Retain for 10 years after last provision of health-related services then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 7.1 ADMINISTRATION

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

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<tbody>
<tr>
<td>11-08-62623 Rev. 2</td>
<td><strong>Patient Profile and Medication Records – Under Age 18</strong>&lt;br&gt;Records relating to the filling and dispensing of medications for each patient under age 18 receiving prescription medication from the pharmacy.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Client details;&lt;br&gt;• Parenteral products dispensed;&lt;br&gt;• Dates and details of dispensations;&lt;br&gt;• Pharmacist identification;&lt;br&gt;• Client notes, diagnoses, and conditions;&lt;br&gt;• Prescription and refill records.</td>
<td><strong>Retain</strong> for 10 years after patient attains age 18 then <strong>Destroy</strong>.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 7.2 DRUG ACCOUNTABILITY

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

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>11-08-62625 Rev. 0</td>
<td><strong>Home Dialysis Program – Drug Shipment</strong>&lt;br&gt;Records relating to the shipment of drugs to persons on home dialysis programs in accordance with WAC 246-905-040.</td>
<td>Retain for 2 years after date of shipment then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62626 Rev. 0</td>
<td><strong>Legend Drug Orders</strong>&lt;br&gt;Records relating to legend drug orders created in accordance with WAC 246-904-030.</td>
<td>Retain for 6 years after date of purchase then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62627 Rev. 3</td>
<td><strong>Pharmaceutical Inventory Accountability</strong>&lt;br&gt;Records relating to the pharmacy’s acquisition, transfer, distribution, and/or destruction of pharmaceuticals, including controlled substances and those maintained in Automated Drug Dispensing Devices (ADDD).&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Drug registers, formularies, and inventories;&lt;br&gt;• Signature logs.</td>
<td>Retain for 10 years after date of distribution/destruction then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62628 Rev. 0</td>
<td><strong>Pharmaceutical Wholesaler Inventories</strong>&lt;br&gt;Inventory and transaction records maintained by wholesale drug distributors regarding the receipt, distribution, or disposition of prescription drugs in accordance with WAC 246-879-040.</td>
<td>Retain for 2 years after date of creation then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
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### 7.2 DRUG ACCOUNTABILITY

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

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<tbody>
<tr>
<td>11-08-62629 Rev. 0</td>
<td><em>Schedule V Drugs Dispensed</em> Records documenting the dispensing of Schedule V drugs.</td>
<td>Retain for 6 years after date dispensed then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### 7.3 QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

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<tr>
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<tbody>
<tr>
<td>11-08-62630 Rev. 0</td>
<td>Compounding Practices</td>
<td>Retain for 2 years after date of report then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62631 Rev. 0</td>
<td>Drug Distribution Errors</td>
<td>Retain for 6 years after date of report then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62632 Rev. 0</td>
<td>Home Dialysis Program Quality Assurance</td>
<td>Retain for 6 years after date of shipment then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62633 Rev. 0</td>
<td>Monthly Inspections – Hospital/Nursing Care Units</td>
<td>Retain for 3 years after date of inspection then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
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### 7.3 QUALITY ASSURANCE AND CONTROL

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<tr>
<td>11-08-62634 Rev. 0</td>
<td><strong>Parenteral Product Contamination Testing</strong>&lt;br&gt;Records relating to the testing of parenteral products for microbial contamination and other inadequacies in accordance with WAC 246-871-080. Includes, but is not limited to:&lt;br&gt;- Quality assurance records documenting medication errors, adverse drug reactions, patient satisfaction, and product sterility;&lt;br&gt;- Documentation of sampling tests for contamination;&lt;br&gt;- End product testing where bulk compounding of parenteral solutions is performed utilizing non-sterile chemicals;&lt;br&gt;- Documentation justifying chosen expiration dates for compounded parenteral products.</td>
<td><strong>Retain for 6 years after date of document then Destroy.</strong></td>
<td>NON-ARCHIVAL NON-ESSENTIAL OFM</td>
</tr>
<tr>
<td>11-08-62635 Rev. 1</td>
<td><strong>Pharmaceutical Complaints and Investigations</strong>&lt;br&gt;Records of written and oral complaints regarding pharmaceutical products, and related investigation records.&lt;br&gt;&lt;em&gt;Note: Retention based on requirements in accordance with WAC 246-895-160.&lt;/em&gt;</td>
<td><strong>Retain for 2 years after distribution of drug has been completed or 1 year after expiration of drug, whichever is longer then Destroy.</strong></td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
### QUALITY ASSURANCE AND CONTROL

The activity of adopting and implementing procedures to provide for quality assurance and control.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62636 Rev. 0</td>
<td>Pharmacy Policy, Procedure, and Training Manuals</td>
<td>Retain for 2 years after superseded then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Manuals of pharmacy policies and procedures which ensure patient health, safety, and welfare, as well as training manuals for pharmacy employees, as described in WAC 246-871-050.</td>
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</tr>
<tr>
<td>11-08-62637 Rev. 0</td>
<td>Regulated Chemical Tableting</td>
<td>Retain for 2 years after date of transaction then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>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.</td>
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</tr>
<tr>
<td>11-08-62638 Rev. 0</td>
<td>Returned Pharmaceuticals</td>
<td>Retain until termination of pharmacy license then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to pharmaceuticals returned to the pharmacy and any related examination or testing performed on such pharmaceuticals in accordance with WAC 246-895-060(10).</td>
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</tr>
<tr>
<td>11-08-62639 Rev. 0</td>
<td>Therapeutically Equivalent Drug Substitution</td>
<td>Retain for 10 years after patient’s last discharge then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
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<tr>
<td></td>
<td>Records documenting prior authorization for therapeutically equivalent drug substitution in accordance with WAC 246-899-030(3).</td>
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</tbody>
</table>
8. RESEARCH MANAGEMENT

The function and activities related to managing or performing human subject research/clinical trials.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
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<tbody>
<tr>
<td>11-08-62640 Rev. 0</td>
<td><strong>Bioavailability/Bioequivalence Samples – Food and Drug Administration Application Approved</strong>&lt;br&gt;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.</td>
<td>Retain for 5 years after date on which Food and Drug Administration application or supplemental application is approved then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62641 Rev. 0</td>
<td><strong>Bioavailability/Bioequivalence Samples – No Food and Drug Administration Application Approved</strong>&lt;br&gt;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.</td>
<td>Retain for 5 years after date of completion of the bioavailability study then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
<td>DESCRIPTION OF RECORDS</td>
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<tr>
<td>11-08-62642 Rev. 0</td>
<td><strong>Device Trials</strong></td>
<td>Retain for 2 years after date of investigation completed/terminated and 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 then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
|                                  | Records relating to investigational medical device clinical trials retained in accordance with 21 CFR 812.140. Includes, but is not limited to:  
  - Investigator records of receipt, use, shipment, or disposition of an investigational device;  
  - Investigator protocols and documentation showing dates and reasons of deviation from protocol;  
  - Sponsor records of device shipment and disposition;  
  - Signed investigator agreements;  
  - Sponsor records concerning adverse device effects;  
  - Other records required to be maintained by the Food and Drug Administration. | | |
| 15-03-68736 Rev. 0               | **Human Subject Research – Consent Forms (Adults)** | Retain for 6 years after close of study then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
|                                  | Records relating to the permission granted by adult subjects to participate in human subject research or clinical studies/trials.  
  Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.  
  Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB). | | |
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<tr>
<td>15-03-68737 Rev. 0</td>
<td><strong>Human Subject Research – Consent Forms (Minors)</strong>&lt;br&gt;Records relating to the permission granted by parents, legal guardians, or other adults for children (usually under the age of 18) to participate in human subject research, as well as records of assent by children for participation in human subject research.&lt;br&gt;Note: Minors are defined for specific studies by applicable state, national, and international laws.&lt;br&gt;Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.&lt;br&gt;Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB).</td>
<td>Retain for 6 years after close of study or 3 years after subject reaches 18, whichever is longer then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>15-03-68738 Rev. 0</td>
<td><strong>Human Subject Research – Financial Records</strong>&lt;br&gt;Financial and grant accounting records relating to human subject research, clinical trials/studies, and billing activities.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;• Budget records and financial reports;&lt;br&gt;• Patient billing and receipts;&lt;br&gt;• Billing support and unresolved billing issues;&lt;br&gt;• Internal and external audits.&lt;br&gt;Note: Human subject research records related to patients are to be kept separate from their legal medical record.&lt;br&gt;Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.</td>
<td>Retain for 10 years after final expenditure report submitted or 10 years after quarterly or annual financial report submitted then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
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<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
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| 15-03-68739 Rev. 0                | **Human Subject Research – HIPAA Authorization Forms**
Records relating to the permission granted for access to or use of protected health information (i.e., medical records).
*Note:* International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. | Retain for 6 years after close of study or 6 years after date authorization was last in effect, whichever is longer then Destroy. | NON-ARCHIVAL ESSENTIAL OPR |
| 11-08-62645 Rev. 0                | **Investigators’ Financial Interest**
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.
Includes, but is not limited to:
- Records showing financial interest or arrangement paid to investigators by sponsors as described in 21 CFR 54.4(a)(3)(i);
- Records showing significant payments made by the sponsor to the investigator as described in 21 CFR 54.4(a)(3)(ii);
- Records showing financial interests held by clinical investigators as described in 21 CFR 54.4 (a)(3)(iii). | Retain for 6 years after conclusion of pertinent investigational activities then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
<table>
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<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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| 11-08-62646 Rev. 0 | **In Vivo/In Vitro Batch Tests**  
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). | **Retain** for 2 years after expiration date of the batch  
and  
2 years after submitted to the Food and Drug Administration  
then  
**Destroy**. | **NON-ARCHIVAL NON-ESSENTIAL OPR** |
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<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tr>
<td>15-03-68740 Rev. 0</td>
<td><strong>Research Records and Data</strong>&lt;br&gt;Records relating to research and data collection methods, as well as to the management and implementation of human subject research activity, including clinical trials or studies (all phases) and human subject research that has “exempt” status. Includes, but is not limited to: research or grant proposal and related documentation; research protocols and instruction documentation; data gathering, responses, (e.g., interviews, notes, questionnaires, abstracted or summarized information), evaluations and research analysis; summary documentation; reports; case history records; logs; forms; PI notes; lab manuals and notebooks; non-study-specific guidelines, protocols, checklists; contracts and other agreements; pre-site documentation; study close out documentation; and all correspondence.&lt;br&gt;Also includes records relating to non-financial compliance activity and industry, federal, state, non-profit, or international regulatory requirements regarding human subject research, including clinical trials or studies (all phases). This includes, but is not limited to: IRB or IRB subcommittee applications, forms and documentation; non-competing renewal documentation; delegation documentation; subject recruitment, screening, selection and eligibility documentation; identifiers collected as part of the research (such as name and birthdate); required training documentation; safety documentation; confidentiality documentation, data and safety monitoring reports; records related to adverse events, data breaches, non-compliance issues, and any unanticipated problems; records related to external monitoring or auditing of research activity; records associated with specialized compliance requirements such as Radiation Safety, Institutional Biosafety, FERPA, Clinical Laboratory Improvement Amendments (CLIA) laboratory certification, and use of embryonic stem cells (Embryonic Stem Cell Research Oversight (ESCRO)).</td>
<td>Retain for 6 years after close of study then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
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<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
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<tr>
<td>15-03-68740 Rev. 0</td>
<td>Continued from previous page May also include any records created or gathered during the course of anticipating research activity, but due to lack of funds or termination by sponsor, the trial or study was not opened and human subjects were not enrolled. Excludes research requiring FDA approval or involvement, and consent/assent forms or HIPAA authorizations. Note: Human subject research records related to patients are to be kept separate from their legal medical record. Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods. Note: Identifier storage medium, format, location, and accessibility and any master key or list that links coded data to identifiers, must comply with the retention outlined in the approval conditions of the reviewing Institutional Review Board (IRB).</td>
<td>Continued from previous page</td>
<td>Continued from previous page</td>
</tr>
<tr>
<td>15-03-68741 Rev. 0</td>
<td><strong>Research Records: Deliverables</strong> Records or products developed or produced as the result of research activity, including those funded by research grants or grant agreements. Includes, but is not limited to: * Reports, studies, surveys; * Educational materials; * Prototypes; * Publications, videos, records, and multi-media materials. Note: International or multi-site research or trials may have longer retentions, which may be determined by the location of the primary Principal Investigator (PI). Corporate sponsors or federal agencies may also require longer retention periods.</td>
<td>Retain for 6 years after close of study then Transfer to Washington State Archives for appraisal and selective retention.</td>
<td>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
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<tr>
<td>11-08-62647 Rev. 0</td>
<td><strong>Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials)</strong>&lt;br&gt;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.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;  - Case report forms and supporting data;&lt;br&gt;  - Signed and dated consent forms;&lt;br&gt;  - Medical records.&lt;br&gt;Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years following the date Food and Drug Administration marketing applications is approved for the drug being investigated.</td>
<td>Retain for 2 years after date marketing application is approved then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>11-08-62648 Rev. 0</td>
<td><strong>Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials)</strong>&lt;br&gt;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.&lt;br&gt;Includes, but is not limited to:&lt;br&gt;  - Case report forms and supporting data;&lt;br&gt;  - Signed and dated consent forms;&lt;br&gt;  - Medical records.&lt;br&gt;Note: 21 CFR 312.64 requires the retention of drug disposition and case history records for 2 years after the investigation is discontinued and the Food and Drug Administration is notified.</td>
<td>Retain for 2 years after investigation is discontinued and the Food and Drug Administration is notified then Destroy.</td>
<td>NON-ARCHIVAL ESSENTIAL OPR</td>
</tr>
<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
<td>DESCRIPTION OF RECORDS</td>
<td>RETENTION AND DISPOSITION ACTION</td>
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<tr>
<td>11-08-62643 Rev. 0</td>
<td><strong>Trial Drug Management – Food and Drug Administration Application Approved</strong></td>
<td>Retain for 2 years after date marketing application is approved then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has been approved. Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after a Food and Drug Administration marketing application is approved.</td>
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<tr>
<td>11-08-62644 Rev. 0</td>
<td><strong>Trial Drug Management – No Food and Drug Administration Application Approved</strong></td>
<td>Retain for 2 years after investigation is discontinued and the Food and Drug Administration notified then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to the acquisition, shipment, or disposition of investigational drugs for which a Food and Drug Administration application has not been approved. Note: 21 CFR 312.57 requires the retention of records and reports showing the receipt, shipment, or other disposition of investigational drugs for 2 years after shipment and deliver of the drug for investigational use is discontinued and the Food and Drug Administration has been notified.</td>
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</table>
9. STUDENT MANAGEMENT
The function of managing and providing student services.

9.1 STUDENT TRAINING
The activity of educating and training students.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<tbody>
<tr>
<td>14-12-68727 Rev. 0</td>
<td>Paramedic Student Records</td>
<td>Records relating to the training of paramedic students. Includes, but is not limited to, application materials, progress reports, fieldwork documentation, student evaluations, course exams, log books, block information, and student completion certificates and/or letters.</td>
<td>Retain for 10 years after graduation or last contact with student, whichever is longer then Transfer to Washington State Archives for appraisal and selective retention.</td>
</tr>
<tr>
<td>14-12-68728 Rev. 0</td>
<td>Paramedic Training Program Records</td>
<td>Records relating to paramedic training programs. Includes, but is not limited to, course planning, schedules, curricula, assessments, and other materials related to program courses. Also includes course submission and approval documentation, course and instructor evaluations, facility and equipment descriptions, student handbooks, and class lists.</td>
<td>Retain for 10 years after end of calendar year or until superseded, whichever is longer then Transfer to Washington State Archives for appraisal and selective retention.</td>
</tr>
</tbody>
</table>
GLOSSARY

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

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

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

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

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

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

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

**Disposition Authority Number (DAN)**
Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.
**Essential Records**

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

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

**Non-Archival**

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

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

**Non-Essential Records**

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

**OFM (Office Files and Memoranda)**

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

*RCW 40.14.010 – Definition and classification of public records.*

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

**OPR (Official Public Records)**

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

*RCW 40.14.010 – Definition and classification of public records.*

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

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

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

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

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

HEALTH CARE AND TREATMENT
- Long Term Care/Nursing Facility Management
  - Resident Censuses ................................................................. 21
- Patient Administration
  - Master Patient Index ............................................................ 23
  - Maternity Registers .............................................................. 23
  - Operative Indexes ................................................................. 24

HOSPITAL SUPPORT SERVICES
- Quality Assurance and Compliance
  - Clinical Accreditation ........................................................... 42
  - Clinical Guidelines and Protocols .......................................... 42
  - Compliance Training ............................................................. 43
- Reporting
  - Baptismal Registries ............................................................ 47

LABORATORY AND PATHOLOGY MANAGEMENT
- Blood/Tissue Banks
  - Donors – Deferred ................................................................ 57
- Forensic Pathology
  - Accession Logs .................................................................... 60
  - Gross Injury/Trauma Photographs and Negatives ....................... 60
  - Test Reports – Forensic .......................................................... 61

RESEARCH MANAGEMENT
- Research Records – Deliverables ............................................. 75

STUDENT MANAGEMENT
- Student Training
  - Paramedic Student Records .................................................. 78
  - Paramedic Training Program Records ...................................... 78
INDEX: ESSENTIAL RECORDS

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

ASSET MANAGEMENT
- Maintenance
  - Instructions/Procedures – Radiation Protection ........................................ 13
  - Radiation Machine Registrations ............................................................ 13

HEALTH CARE AND TREATMENT
- Diagnostic and Medical Imaging
  - Mammograms .......................................................................................... 18
- Long Term Care/Nursing Facility Management
  - Long Term Care Facility/Nursing Home Patient Medical Records – Age 18 and Over ................................................................. 20
  - Long Term Care Facility/Nursing Home Patient Medical Records – Under Age 18 ................................................................................. 20

Patient Administration
- Admitting and Registration .......................................................................... 22
- Durable Medical Equipment, Prosthetics, Orthotics, and Supplies .......... 30
- Emergency Care Records ............................................................................. 29
- Emergency Response Records .................................................................... 23
- Master Patient Index ..................................................................................... 23
- Treatment/Care Planning Data ...................................................................... 34

Patient Medical Records
- Counseling Records – Age 18 and Over ....................................................... 28
- Counseling Records – Under Age 18 ........................................................... 29
- Organ Transplant Records – Age 18 and Over ............................................. 31
- Organ Transplant Records – Under Age 18 .................................................. 32
- Outside Medical Records – Not Used .......................................................... 32
- Patient Medical Records .............................................................................. 32
- Patient Medical Records – Age 18 and Over ................................................ 32
- Patient Medical Records – Under Age 18 .................................................... 33

HOSPITAL SUPPORT SERVICES
- Quality Assurance and Compliance

Clinical Accreditation .................................................................................... 42
Clinical Guidelines and Protocols ................................................................. 42

HUMAN RESOURCE MANAGEMENT
- Staff Development/Training
  - Medical Use Licenses .............................................................................. 50

LABORATORY AND PATHOLOGY MANAGEMENT
- Blood/Tissue Banks
  - Donors – Deferred .................................................................................... 57
  - Donors/Recipients – General ................................................................. 57
- Forensic Pathology
  - Gross Injury/Trauma Photographs and Negatives .................................. 60

PHARMACY MANAGEMENT
- Administration
  - Patient Profile and Medication Records – Age 18 and Over .................. 62
  - Patient Profile and Medication Records – Under Age 18 ....................... 63
- Quality Assurance and Control
  - Pharmacy Policy, Procedure, and Training Manuals ............................... 68

RESEARCH MANAGEMENT
- Bioavailability/Bioequivalence Samples – Food and Drug Administration
  - Application Approved .............................................................................. 69
- Device Trials ............................................................................................... 70
- Human Subject Research – Consent Forms (Adults) ................................... 70
- Human Subject Research – Consent Forms (Minors) ................................. 71
- Human Subject Research – HIPAA Authorization Forms ......................... 72
- Research Records and Data ...................................................................... 74
- Subject Case Histories – Food and Drug Administration Application Filed (Clinical Trials) ................................................................. 76
- Subject Case Histories – Food and Drug Administration Application Not Filed (Clinical Trials) ................................................................. 76
<table>
<thead>
<tr>
<th>STUDENT MANAGEMENT</th>
<th>Paramedic Student Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Training</td>
<td>................................................................. 78</td>
</tr>
</tbody>
</table>
### INDEX: DISPOSITION AUTHORITY NUMBERS (DANS)

<table>
<thead>
<tr>
<th>DANS</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>11-08-62511</td>
<td>5</td>
</tr>
<tr>
<td>11-08-62512</td>
<td>8</td>
</tr>
<tr>
<td>11-08-62513</td>
<td>7</td>
</tr>
<tr>
<td>11-08-62514</td>
<td>7</td>
</tr>
<tr>
<td>11-08-62516</td>
<td>9</td>
</tr>
<tr>
<td>11-08-62517</td>
<td>9</td>
</tr>
<tr>
<td>11-08-62518</td>
<td>10</td>
</tr>
<tr>
<td>11-08-62519</td>
<td>11</td>
</tr>
<tr>
<td>11-08-62520</td>
<td>11</td>
</tr>
<tr>
<td>11-08-62521</td>
<td>11</td>
</tr>
<tr>
<td>11-08-62522</td>
<td>11</td>
</tr>
<tr>
<td>11-08-62523</td>
<td>12</td>
</tr>
<tr>
<td>11-08-62524</td>
<td>13</td>
</tr>
<tr>
<td>11-08-62525</td>
<td>13</td>
</tr>
<tr>
<td>11-08-62526</td>
<td>13</td>
</tr>
<tr>
<td>11-08-62527</td>
<td>13</td>
</tr>
<tr>
<td>11-08-62529</td>
<td>14</td>
</tr>
<tr>
<td>11-08-62530</td>
<td>14</td>
</tr>
<tr>
<td>11-08-62531</td>
<td>14</td>
</tr>
<tr>
<td>11-08-62532</td>
<td>14</td>
</tr>
<tr>
<td>11-08-62533</td>
<td>15</td>
</tr>
<tr>
<td>11-08-62534</td>
<td>15</td>
</tr>
<tr>
<td>11-08-62535</td>
<td>16</td>
</tr>
<tr>
<td>11-08-62536</td>
<td>17</td>
</tr>
<tr>
<td>11-08-62537</td>
<td>17</td>
</tr>
<tr>
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<td>18</td>
</tr>
<tr>
<td>11-08-62540</td>
<td>18</td>
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<td>11-08-62541</td>
<td>18</td>
</tr>
<tr>
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<td>19</td>
</tr>
<tr>
<td>11-08-62543</td>
<td>19</td>
</tr>
<tr>
<td>11-08-62544</td>
<td>20</td>
</tr>
<tr>
<td>11-08-62545</td>
<td>20</td>
</tr>
</tbody>
</table>

**INDEX TO: DANS**
<table>
<thead>
<tr>
<th>Index</th>
<th>Type</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>14-09-68535</td>
<td>DANS</td>
<td>..........................</td>
<td>44</td>
</tr>
<tr>
<td>14-12-68725</td>
<td>DANS</td>
<td>..........................</td>
<td>42</td>
</tr>
<tr>
<td>14-12-68726</td>
<td>DANS</td>
<td>..........................</td>
<td>44</td>
</tr>
<tr>
<td>14-12-68727</td>
<td>DANS</td>
<td>..........................</td>
<td>78</td>
</tr>
<tr>
<td>14-12-68728</td>
<td>DANS</td>
<td>..........................</td>
<td>78</td>
</tr>
<tr>
<td>15-03-68736</td>
<td>DANS</td>
<td>..........................</td>
<td>70</td>
</tr>
<tr>
<td>15-03-68737</td>
<td>DANS</td>
<td>..........................</td>
<td>71</td>
</tr>
<tr>
<td>15-03-68738</td>
<td>DANS</td>
<td>..........................</td>
<td>71</td>
</tr>
<tr>
<td>15-03-68739</td>
<td>DANS</td>
<td>..........................</td>
<td>72</td>
</tr>
<tr>
<td>15-03-68740</td>
<td>DANS</td>
<td>..........................</td>
<td>74, 75</td>
</tr>
<tr>
<td>15-03-68741</td>
<td>DANS</td>
<td>..........................</td>
<td>75</td>
</tr>
<tr>
<td>16-03-68951</td>
<td>DANS</td>
<td>..........................</td>
<td>46</td>
</tr>
<tr>
<td>16-03-68952</td>
<td>DANS</td>
<td>..........................</td>
<td>46</td>
</tr>
<tr>
<td>16-12-69015</td>
<td>DANS</td>
<td>..........................</td>
<td>22</td>
</tr>
<tr>
<td>16-12-69016</td>
<td>DANS</td>
<td>..........................</td>
<td>29</td>
</tr>
<tr>
<td>16-12-69017</td>
<td>DANS</td>
<td>..........................</td>
<td>32</td>
</tr>
<tr>
<td>16-12-69018</td>
<td>DANS</td>
<td>..........................</td>
<td>33</td>
</tr>
<tr>
<td>18-04-69199</td>
<td>DANS</td>
<td>..........................</td>
<td>43</td>
</tr>
<tr>
<td>18-04-69200</td>
<td>DANS</td>
<td>..........................</td>
<td>30</td>
</tr>
<tr>
<td>18-04-69201</td>
<td>DANS</td>
<td>..........................</td>
<td>29</td>
</tr>
<tr>
<td>18-04-69202</td>
<td>DANS</td>
<td>..........................</td>
<td>23</td>
</tr>
<tr>
<td>18-04-69203</td>
<td>DANS</td>
<td>..........................</td>
<td>49</td>
</tr>
<tr>
<td>18-04-69204</td>
<td>DANS</td>
<td>..........................</td>
<td>19</td>
</tr>
<tr>
<td>18-04-69205</td>
<td>DANS</td>
<td>..........................</td>
<td>34</td>
</tr>
</tbody>
</table>
## INDEX: SUBJECTS

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

### A

- acceptance testing ........................................ 16
- accession logs, forensic pathology ............................ 60
- accession/test logs ........................................... 51
- accreditation, clinical ......................................... 42
- activity logs, anesthesia ....................................... 24
- admitting and registration ..................................... 22
- agreements ..................................................... see SGGRRS
- ambient radiation surveys ...................................... 39
- ambulatory clinics ............................................... 22
- amendments, patient medical records ....................... 45
- anesthesia logs .................................................. 24
- appointments, medical staff ................................... 45
- assays, radiopharmaceutical .................................... 38
- assessments, diagnostic imaging and testing ... 17, 18
- audits ................................................................ see SGGRRS
  - human subject research ....................................... 71
- radiation protection program .................................. 46
- autoclaves .......................................................... 13
- automated drug dispensing devices ............................ 64
- behavioral health treatment
  - counseling records ........................................... 28, 29
- psychotherapy notes ............................................ 33
- billing (financial transactions) see SGGRRS
  - human subject research ....................................... 71
  - patient ......................................................... 27
- bills (legislation) see SGGRRS
- bioavailability/bioequivalence samples
  - FDA application approved ................................... 69
  - FDA application not approved ................................ 69
- birth certificates .................................................... 47
- birth/death registers ............................................. 47
- blood/tissue banks
  - donors/recipients consents ................................... 57
  - employee records ............................................. 49
  - quality control .................................................. 58
- brachytherapy
  - source accountability ......................................... 35
  - source calibration ............................................. 11
- budgets see SGGRRS
  - human subject research ....................................... 71
- byproduct
  - misadministration ............................................. 35
  - source surveys and tests .................................... 38
  - byproduct material medical use licenses .................. 50
- brachytherapy sources ......................................... 11
- dosimetry equipment ........................................... 11
- equipment ......................................................... 12
- expert evaluations ............................................... 11
- instructions – image receptors ................................ 11
- call schedules, physician ....................................... 48
- candidates, organ transplant ................................... 31, 32
- care planning data ............................................... 34
- case management ................................................ 22
- censuses
  - long-term care facility/nursing home ....................... 21
  - patient ......................................................... 22
- chest films ........................................................ 17, 18
- clinic business operations ....................................... 22
- clinical accreditation .......................................... 42
- clinical guidelines and protocols ............................ 42
- comments, preliminary drafts see SGGRRS
- complaints see SGGRRS
  - patient ......................................................... 5, 6
- pharmaceutical .................................................. 67
- compliance
  - investigations ................................................ 43
  - training ......................................................... 43
- compounding practices ........................................ 66
- computer forensic investigations ......................... 43
- consent forms
  - clinical trials
    - filed with FDA ............................................ 76
    - not filed with FDA ....................................... 76
  - human subject research

### B

- backups see SGGRRS
- baptismal registries ............................................ 47
- batch data ......................................................... 62
- batch tests (in vivo/in vitro) ................................. 73
- behavioral health treatment
  - counseling records ........................................... 28, 29
  - psychotherapy notes ........................................... 33
- billing (financial transactions) see SGGRRS
  - human subject research ....................................... 71
  - patient ......................................................... 27
- bills (legislation) see SGGRRS
- bioavailability/bioequivalence samples
  - FDA application approved ................................... 69
  - FDA application not approved ................................ 69
- birth certificates .................................................... 47
- birth/death registers ............................................. 47
- blood/tissue banks
  - donors/recipients consents ................................... 57
  - employee records ............................................. 49
  - quality control .................................................. 58
- brachytherapy
  - source accountability ......................................... 35
  - source calibration ............................................. 11
- budgets see SGGRRS
  - human subject research ....................................... 71
- byproduct
  - misadministration ............................................. 35
  - source surveys and tests .................................... 38
  - byproduct material medical use licenses .................. 50
- brachytherapy sources ......................................... 11
- dosimetry equipment ........................................... 11
- equipment ......................................................... 12
- expert evaluations ............................................... 11
- instructions – image receptors ................................ 11
- call schedules, physician ....................................... 48
- candidates, organ transplant ................................... 31, 32
- care planning data ............................................... 34
- case management ................................................ 22
- censuses
  - long-term care facility/nursing home ....................... 21
  - patient ......................................................... 22
- chest films ........................................................ 17, 18
- clinic business operations ....................................... 22
- clinical accreditation .......................................... 42
- clinical guidelines and protocols ............................ 42
- comments, preliminary drafts see SGGRRS
- complaints see SGGRRS
  - patient ......................................................... 5, 6
- pharmaceutical .................................................. 67
- compliance
  - investigations ................................................ 43
  - training ......................................................... 43
- compounding practices ........................................ 66
- computer forensic investigations ......................... 43
- consent forms
  - clinical trials
    - filed with FDA ............................................ 76
    - not filed with FDA ....................................... 76
  - human subject research

### C

- calibration

---

**Note:** The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.
adults .................................................. 70
minors .............................................. 71
contamination testing, parenteral products .......... 67
contracts ........................................ 36
  see SGGRRS
controlled substances
  destruction ...................................... 64
inventory accountability .......................... 64
counseling records
  age 18 and over .................................. 28
  psychotherapy notes ............................. 33
  under age 18 ..................................... 29
crash cart logs .................................... 44
credentialed/privileging ............................ 45
cytogenetics diagnostic images and final reports ... 59
cytology reports .................................. 60
d
  daily assignments ................................ 48
death certificates .................................. 47
decay
  in storage ....................................... 7
  strontium-90 ..................................... 7
deferred donors ................................... 57
device trials ....................................... 70
diagnostic images and final reports, cytogenetics .. 59
diagnostic imaging and testing records
  age 18 and over .................................. 17
  under age 18 ..................................... 18
directives, written .................................. 40
disclosures, patient medical records .................. 45
donors, organ transplant ............................ 31, 32
donors/recipients ....................................
general ............................................. 57
specimens ......................................... 57
typing/crossmatch ................................ 57
dose limits ........................................ 37
doses, written directives for ........................ 40
dosimetry equipment calibration ...................... 11
dosing, byproduct .................................. 38
drafts ................................................. 69
  see SGGRRS
  drug
    absorption studies ................................ 69
distribution errors ................................ 66
drug disposal
  controlled substances ........................... 64
decay in storage ................................... 7
radioactive material ................................ 8
trial drugs ........................................ 77
drug logs, therapeutic leave ........................ 20
durable medical equipment ........................ 30
echoangiography ................................ 17, 18
electroencephalograms ............................. 17, 18
emergency
  care ............................................. 29
equipment checklists ................................ 44
kit drugs .......................................... 20
response .......................................... 23
employee records  ................................ 64
  see also SGGRRS
blood/tissue banks ................................ 49
equipment
  calibration and testing ......................... 12
dosimetry, calibration ............................ 11
sterilization/infection control ....................... 13
equipment schedules ............................. 24
equipment specifications ........................... 16
equipment, medical ................................ 44
evaluations, calibration experts ..................... 11
evoked potential tests .............................. 17, 18
examinations, diagnostic testing .................. 17, 18
f
  face sheets ..................................... 21
facilities ........................................ 36
  see SGGRRS
fellows, medical ................................ 49
financial records ................................. 63
  see also SGGRRS
human subject research ............................ 71
patient ............................................. 27
forensic investigations, computer .................. 43
  reports ......................................... 61
Form RHF-5/RHF-5A ................................ 36
formularies ....................................... 64
g
gated dot plots/histograms, cytogenetics ........ 59
grants ............................................. 88
  see SGGRRS
graphs ............................................. 17, 18
grievances ........................................ 59
  see also SGGRRS
patient ............................................. 60
gross injury photographs/negatives .................. 5, 6
guidelines, clinical ................................ 42
### INDEX TO: SUBJECTS

<table>
<thead>
<tr>
<th>Subject</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>High radiation area entry control device testing</td>
<td>12</td>
</tr>
<tr>
<td>HIPAA authorization forms, human subject research</td>
<td>72</td>
</tr>
<tr>
<td>Histograms, cytogenetics</td>
<td>59</td>
</tr>
<tr>
<td>Home dialysis programs</td>
<td>64</td>
</tr>
<tr>
<td>Hot lab surveys</td>
<td>66</td>
</tr>
<tr>
<td>Human resources</td>
<td>39</td>
</tr>
<tr>
<td>Human subject research</td>
<td>71</td>
</tr>
<tr>
<td>Consent forms</td>
<td>70</td>
</tr>
<tr>
<td>Adults</td>
<td>12</td>
</tr>
<tr>
<td>Minors</td>
<td>71</td>
</tr>
<tr>
<td>Financial records</td>
<td>71</td>
</tr>
<tr>
<td>HIPAA authorization forms</td>
<td>72</td>
</tr>
<tr>
<td>Information systems</td>
<td>13</td>
</tr>
<tr>
<td>Security</td>
<td>44</td>
</tr>
<tr>
<td>In-home equipment</td>
<td>10</td>
</tr>
<tr>
<td>Injury reports</td>
<td>46</td>
</tr>
<tr>
<td>Inquiries, patient</td>
<td>5, 6</td>
</tr>
<tr>
<td>Instruction/training</td>
<td>50</td>
</tr>
<tr>
<td>Occupational doses</td>
<td>50</td>
</tr>
<tr>
<td>Radiation protection</td>
<td>13</td>
</tr>
<tr>
<td>Instructions, manufacturer</td>
<td>49</td>
</tr>
<tr>
<td>Instructions/procedures, radiation protection</td>
<td>9</td>
</tr>
<tr>
<td>Interns, medical</td>
<td>31</td>
</tr>
<tr>
<td>Interpretation services/requests</td>
<td>37</td>
</tr>
<tr>
<td>Interpretations, diagnostic imaging and testing</td>
<td>12</td>
</tr>
<tr>
<td>Inventories of radio sources</td>
<td>17, 18</td>
</tr>
<tr>
<td>Investigations</td>
<td>43</td>
</tr>
<tr>
<td>Compliance</td>
<td>67</td>
</tr>
<tr>
<td>Pharmaceutical</td>
<td>72</td>
</tr>
<tr>
<td>Investigators’ financial interest</td>
<td>72</td>
</tr>
<tr>
<td>Laboratory procedures</td>
<td>54</td>
</tr>
<tr>
<td>Language interpretation services</td>
<td>31</td>
</tr>
<tr>
<td>Leak tests, byproduct</td>
<td>38</td>
</tr>
<tr>
<td>Leases</td>
<td>28, 29</td>
</tr>
<tr>
<td>Leave</td>
<td>33</td>
</tr>
<tr>
<td>Legend drug orders</td>
<td>64</td>
</tr>
<tr>
<td>Logs</td>
<td>60</td>
</tr>
<tr>
<td>Accession, forensic</td>
<td>24</td>
</tr>
<tr>
<td>Operative</td>
<td>21</td>
</tr>
<tr>
<td>Residents in/out</td>
<td>20</td>
</tr>
<tr>
<td>Therapeutic leave drugs</td>
<td>20</td>
</tr>
<tr>
<td>Long term care facility/nursing home patient medical records</td>
<td>20</td>
</tr>
<tr>
<td>Age 18 and over</td>
<td>20</td>
</tr>
<tr>
<td>Under age 18</td>
<td>20</td>
</tr>
<tr>
<td>Magnetic resonance images</td>
<td>17, 18</td>
</tr>
<tr>
<td>Mammograms</td>
<td>18</td>
</tr>
<tr>
<td>Manufacturer instructions</td>
<td>13</td>
</tr>
<tr>
<td>Master patient index</td>
<td>23</td>
</tr>
<tr>
<td>Maternity registers</td>
<td>23</td>
</tr>
<tr>
<td>Meal counts</td>
<td>41</td>
</tr>
<tr>
<td>Meals, patient</td>
<td>41</td>
</tr>
<tr>
<td>Mechanical floor stock devices drug removal</td>
<td>64</td>
</tr>
<tr>
<td>Medical equipment</td>
<td>44</td>
</tr>
<tr>
<td>Medical staff</td>
<td>45</td>
</tr>
<tr>
<td>Credentialing/privileging</td>
<td>49</td>
</tr>
<tr>
<td>Residents, fellows, interns</td>
<td>50</td>
</tr>
<tr>
<td>Medication records, patient profile and</td>
<td>62</td>
</tr>
<tr>
<td>Age 18 and over</td>
<td>63</td>
</tr>
<tr>
<td>Under age 18</td>
<td>63</td>
</tr>
<tr>
<td>Meetings</td>
<td>28, 29</td>
</tr>
<tr>
<td>Mental health treatment</td>
<td>33</td>
</tr>
<tr>
<td>Counseling records</td>
<td>41</td>
</tr>
<tr>
<td>Psychotherapy notes</td>
<td>41</td>
</tr>
<tr>
<td>Menus</td>
<td>10</td>
</tr>
<tr>
<td>Cafeteria</td>
<td>39</td>
</tr>
<tr>
<td>Patient</td>
<td>39</td>
</tr>
<tr>
<td>Mobile medical services</td>
<td>20</td>
</tr>
<tr>
<td>Mobile medical surveys</td>
<td>39</td>
</tr>
<tr>
<td>Mobile nuclear surveys</td>
<td>39</td>
</tr>
</tbody>
</table>
molybdenum-99 concentration measurements... 38
monthly inspections, hospital/nursing care units... 66
motor vehicles.....................................see SGGRRS

N
nuclear images.....................................17, 18
nuclear medicine
  dose calibration...................................12
  linearity tests...................................12
nursing units
  business operations............................22
  inspections.....................................66

O
occupational and public dose/exposure
  reports...........................................36
  working files...................................37
operative
  indexes..........................................24
  scheduling/assignments........................24
orders, diagnostic imaging and testing...........17, 18
organ transplant records
  age 18 and over................................31
  under age 18.....................................32
orthotics..........................................30
outside medical records (not used)...............32

P
package surveys...................................39
paramedic student/training programs .............78
parenteral products contamination testing........67
pathology test reports..............................55
patient
  accidents/incidents.............................46
  financial records................................27
  meals.............................................41
  relations (complaints/inquiries/grievances)....5
  releases (telephone records)......................6
  releases (radiation).............................37
  safety.............................................46
patient billing.....................................27
human subject research...........................71
patient medical records
  age 18 and over................................32
  disclosures/amendments........................45
  long term care facility/nursing home (age 18 and
  under age 18)....................................20
  long term care facility/nursing home (under age
  18)................................................20
  under age 18.....................................33
patient profile and medication records
  age 18 and over................................62
  under age 18.....................................63
payroll.............................................see SGGRRS
performance specifications........................54
perfusion records...................................24
personnel.........................................see SGGRRS
persons seeking admission........................21
pharmaceutical
  complaints and investigations..................67
  inventory accountability.........................64
  wholesaler inventories..........................64
pharmacy policy, procedure, and training manuals 68
physician call schedules..........................48
physician's offices................................22
planning............................................see SGGRRS
  policies...........................................see SGGRRS
preliminary drafts..................................see SGGRRS
prescription and refill records.....................62, 63
prescription drug orders...........................64
privileging...........................................45
procedures.........................................see also SGGRRS
radiation protection..............................13
test...................................................54
program approvals, radiation protection..........37
progress notes.....................................28, 29
prosthetics..........................................30
protocols, clinical..................................42
psychotherapy notes................................33
counseling records
  age 18 and over................................28
  under age 18.....................................29
public
  dose limit compliance.........................37
  public disclosure...............................see SGGRRS
public exposure reports, radiation protection
  program..........................................36
public records requests..........................see SGGRRS
purchasing.........................................see SGGRRS

Q
quality assurance records
  age 18 and over..................................46
  under age 18.....................................46
quality control and assurance
R

radiation
  doses ........................................ 38, 40
  machine registrations .................... 13
  safety officers .................................. 48
  source inventories .............................. 9
radiation protection program
  approvals ........................................ 37
  audits and reviews .............................. 46
radioactive material
  acquisition/transfer ......................... 9
  disposal .......................................... 8
radioactive materials general and specific licenses 50
radiographic images ............................... 17, 18
radiopharmaceutical assays ................... 38
records management ........ see SGGRS
reference materials ............................ see SGGRS
referrals
  outside of the agency ............................ 25
  to the agency .................................... 24
registers
  baptismal ........................................ 47
  birth/death ...................................... 47
  maternity ........................................ 23
registration, admitting and .................. 22
regulated chemical tableting .................. 68
release of information ......................... 45
reports ........................................ see also SGGRS
cytology ............................................. 60
diagnostic imaging and testing .............. 17, 18
forensic .............................................. 61
pathology ........................................... 55
transfusion services ............................. 56
requests, diagnostic imaging and testing .... 17, 18
requisitions, diagnostic imaging and testing 17, 18
research records/data ........................... 74
research, human subject
  consent forms ................................... 70, 71
deliverables .......................................... 75
financial records .................................. 71
HIPAA authorization forms .................... 72
records and data ................................... 74
residents, long term care facility/nursing home administration .......................... 21
censuses ............................................. 21
in/out logs ........................................... 21
residents, medical .................................. 49
returned pharmaceuticals ..................... 68
roentgenograms .................................... 17, 18
S
safety ............................................... 46
schedule V drugs dispensed .................... 65
schedules
  clinic .............................................. 22
  nurses and other medical staff .............. 48
  physician call ..................................... 48
security ........................................... see also SGGRS
information systems ............................. 44
sign-in sheets ..................................... 22
sleep test data ..................................... 19
specimen identification and control ........ 54
staff plans/schedules ............................ 48
statistics ........................................... see also SGGRS
census and patient health ....................... 22
clinical accreditation ........................... 42
sterilization, equipment ......................... 13
sterilizer spore tests ............................. 13
student records, paramedic ..................... 78
subject case histories
  FDA application filed ......................... 76
  FDA application not filed ..................... 76
surveys
  patient safety and satisfaction 22
  radiation protection program ............... 39
treatment equipment ............................. 14

T
teletherapy
  calibration calculations ...................... 14
  five-year/source replacement inspections .... 14
  source installation surveys ................... 14
teletherapy facility safety check reports ........ 12
test logs, laboratory .............................. 51
test procedures .................................... 54
test reports
  all other laboratory services ............... 55
transfusion services ............................ 56
tests, diagnostic images and ................... 17, 18
therapeutic leave drug logs .................... 20
therapeutically equivalent drug substitution 68
INDEX TO:
SUBJECTS

therapy
  counseling records ..................................  28, 29
  psychotherapy notes ..................................  33
timesheets .............................................. see SGGRS
training ..................................................  17, 18
  see also SGGRS
  compliance ...........................................  43
paramedic ..............................................  78
training manuals, pharmacy ..........................  68
  general administration ............................  56
  see SGGRS
transfusion services
  reports ..................................................  56
travel ................................................... see SGGRRS
treatment/care planning data ........................  34
trial drug management

FDA application approved ................................  77
FDA application not approved ................................  77
timesheets .............................................. see SGGRS
trails, device ............................................  70

W

waiting lists
  long term care facility/nursing home ..................  21
  organ transplant .......................................  31, 32
working reception surveys .............................  39
written directives
  authorizations .........................................  40
  procedures .............................................  40

U

uncompensated care compliance ..........................  26
utilization ..............................................  22

V

vehicles .................................................. see SGGRRS
vital statistics supporting documentation ............  47

X

x-ray/electron therapy spot checks ........................  15
x-rays ...................................................  17, 18