
This schedule applies to: Health Care Facilities Authority

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Health Care Facilities Authority relating to the unique functions of facilitating access for non-profit health care providers to the tax-exempt municipal bond market for financing capital costs. 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 designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Health Care Facilities Authority are revoked. The Health Care Facilities Authority 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 March 1, 2017.

Signature on File

For the State Auditor:
Cindy Evans

Signature on File

For the Attorney General:
Isaac Williamson

Signature on File

For the Office of Financial Management:
Shane Hamlin

Signature on File

The State Archivist:
Steve Excell

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	March 1, 2017	Consolidation of all existing disposition authorities (with some minor revisions).

For assistance and advice in applying this records retention schedule,
please contact the Health Care Facilities Authority's Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov

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1. HEALTH CARE FACILITY FINANCING

This section covers records relating to facilitating access for non-profit health care providers to the tax-exempt municipal bond market for financing capital costs.

1.1 AUDITING			
<i>The activity of monitoring and verifying bond trustee statements.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-10-36326 Rev. 1	Trustee Audit Reports Final reports of independent auditor reviews of bond trustee records to verify trustee statements.	Retain for 30 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 LOAN APPLICATION REVIEW AND APPROVAL

The activity of reviewing and approving bond financing applications.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01-12-60288 Rev. 2	<p><i>Bond Financing Applications (Bonds Issued)</i></p> <p>Records relating to the review and approval of bond financing applications when bonds are issued.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications for financial assistance; • Feasibility studies and evaluations/staff notes; • Rating agency memos and periodic credit reports; • Legal documents and official statement of bond issue; • Billing and payments records of service fees; • Related communications/correspondence. 	<p>Retain for 6 years after payoff of bonds</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
01-12-60289 Rev. 1	<p><i>Bond Financing Applications (Bonds Not Issued)</i></p> <p>Records relating to the review and approval of bond financing applications when bonds are not issued.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications for financial assistance; • Feasibility studies and evaluations/staff notes; • Rating agency memos and periodic credit reports; • Draft legal documents; • Related communications/correspondence. 	<p>Retain for 6 years after termination of bond issue</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.2 LOAN APPLICATION REVIEW AND APPROVAL

The activity of reviewing and approving bond financing applications.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-10-36319 Rev. 1	<p><i>Bound Transcripts of Hospital Financing</i></p> <p>The bound volume contains the original copy of the transcript of proceeding pertaining to the authorization, sale, issuance and delivery of Washington Health Care Facilities Authority Bonds.</p>	<p>Retain for 6 years after payoff of bonds <i>and</i> until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

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.

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

OPR (Official Public Records)

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

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or

any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."

Public Records

RCW 40.14.010 – Definition and classification of public records.

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

Records Series

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

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 INDEX

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

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

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