Overview

This standard operating procedure (SOP) chapter outlines activities and administrative procedures that support Residential Care Services (RCS) regulatory work and staff.

The following procedures support:
- The Residential Care Services mission to promote and protect the rights, security, and wellbeing of individuals living in licensed or certified residential settings;
- The Department of Social and Health Services' (DSHS') mission to transform lives; and
- Efficient, effective, and accountable government invested in wise use of technology and process improvement to streamline work, eliminate waste, and appropriately utilize state resources.

These procedures are not covered by DSHS Administrative Policies as they are specific to Residential Care Services. These procedures will be reviewed for accuracy and compliance at least every five years.

Contacts

- RCS Policy Unit General Contact, RCSPolicy@dshs.wa.gov
- RCS Quality Improvement Unit General Contact, ImproveRCS@dshs.wa.gov

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Part I: Administrative Guidelines

A. Electronic Signatures

Purpose

The use of electronic records and electronic signatures can significantly reduce costs, simplify transactions, and speed up transaction time. State agencies are encouraged to use and accept electronic signatures to authenticate electronic transactions.

RCS staff must use the electronic signature process for all internal and external RCS documents. Manual printing and physically signing documents should be the exception.

All physically signed paper documents must be stored and maintained in hardcopy format until they are processed and verified within Perceptive Content. The disposal of the hardcopy will only occur after the Perceptive Content process has been completed.

Procedure

1. Administrative Assistant 3 (AA) Use of Electronic Signatures

    AA3 use of supervisor or manager electronic signature to sign Statements of Deficiency (SODs) and other documents requires:
    a. Written authorization from the Field Manager (FM) to the AA3 that includes:
        i. Date/time
        ii. Acknowledgement that the manager or supervisor reviewed the content and
        iii. Approved for signature by the AA3; and
        iv. Application of authorized digital signature to the document (not signing on behalf of).

2. Saving Documents with Electronic Signatures

    Save RCS documents with electronic signatures in shared file folders, published spaces, RCS data bases, or Perceptive Content as follows:
    a. Employee documents in secure, protected folders or Perceptive Content;
    b. Internal documents with electronic signatures that pertain to RCS business operations in shared files or Perceptive Content; and
    c. External letters or statements of deficiency with electronic signatures on internet and/or RCS or Centers for Medicare and Medicaid Services (CMS) data systems or Perceptive Content as required.

3. [Creating a Digitized Signature]

To sign a document using Adobe Acrobat Sign:
a. Ensure you have adobe acrobat reader installed on your computer (start a helpdesk ticket if needed).
b. Sign your name in black ink in the middle of a clean, blank sheet of white paper.
c. Scan or photograph your signature. If you choose to photograph your signature, make sure that the page is lit and that no shadows fall across the signature.
d. Email or scan the image to your computer. Adobe Acrobat Reader accepts JPG, JPEG, PNG, GIF, TIFF, TIF, and BMP files. The image does not need to be cropped, Adobe Acrobat Reader imports the photo or scanned signature, only if the photo or scan is clean.
e. Open the PDF (portable document format).
f. From the menu, select "fill and sign." This opens a range of options displayed in the ribbon at the top of the page. Select "sign yourself."

g. Choose "Select Image."
h. Insert or apply digitized signature to the page.
i. Save and close.

B. Acceptance of Electronic Signatures from Outside of RCS

Purpose

Under RCW 1.80.170, government agencies may accept electronic signatures (e-signatures) if there is a process and format for accepting e-signatures and how the agency will preserve electronic records.

Procedure

1. Providers may submit electronic documents (e-docs) including letters, plans of correction or attestations with a handwritten or electronic signature.
2. RCS staff will save e-docs submitted by providers in shared electronic files or in perceptive content, the RCS record management tool.
3. RCS staff will not print out e-docs submitted by providers unless directed to do so by their supervisor.
4. Any notes added to e-docs electronically will include the date and name of the person creating the note.

C. eFax

Purpose

RCS's electronic faxing (eFax) allows faxes to be sent and received using email. Using eFax for RCS communication and delivery of documents meets the goal of efficient and effective state government.

The community program Administrative Assistant 3 (AA) is responsible to eFax or send by certified mail with return receipt signed Statement of Deficiency/Plan of Correction (SOD/POC), SOD/POC with Consultation, and Consultation letters. Documents faxed over email using an eFax product or service are confidential and meet "proof of service" requirements when evidence of fax transmission is saved.

> Note: emailing SOD documentation IS allowed provided the following criteria is met:
> - SOD is *also sent* via another form of "proof of service" (eFax, certified mail, personal delivery, commercial delivery service, legal messenger); AND
> - The SOD Confidential Identifier list is sent via Secure email.

Administrative Assistants for **Nursing Homes (NH)** send and receive SOD/POC using the electronic POC (ePOC) feature in the federal Automated Survey Processing Environment (ASPEN) program.

Procedure

1. Sending an eFax
    a. Identify the Fax Number of the Recipient:
        i. If needed, you may call the provider before sending the eFax to verify the fax number.
        ii. When sending enforcement actions, the Field Managers (FMs) should confirm the correct fax number with the provider before ending the notification call and share this information with the staff who will be sending the eFax.
        iii. Field staff can request the fax number during exit conferences.
    b. Create the eFax Email:
        i. Select "New Email" in Outlook.
        ii. Populate the "TO" field of the email with the recipient fax number using the following format: 1FAXNUMBER@us.rfax.net
            1) **Fax number:** Always begin the fax number with a 1 before the area code.

            > Example: 18339142984

            2) **eFax extension**: @us.rfax.net is required to send the eFax.
        iii. To Add Additional Recipients:
            1) Include as many eFax addresses as necessary, either in the TO or CC (carbon copy) fields of the email.
            2) Use the same format as the primary recipient when adding an additional recipient's address: 1faxnumber@us.rfax.net.

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c. Prepare the eFax Message:

> Note: SOD and Enforcement Letters have different record retention schedules and should be sent in separate fax emails.
> - Retention schedule for SOD eFax confirmation is six years.
> - Retention schedule for Enforcement eFax confirmation is 30 years.

i. Subject Line: Identify what information is requested or being provided.
   1) Statement of Deficiency (SOD) or Enforcement letter requests – follow the standard subject line format below:

   CD#   License #   Facility Name   Attached Documents   SOD or Enf letter date
      a) Separate document names with "and"

   > Example: 789 12345 Shady Glen AFH SOD and Letter and IDList 10-06-22

   2) Non-SOD documents or requests for information:
      a) State the purpose of the eFax in the subject line.

   > - Example A: Medical Record Request.
   > - Example B: xxxx County Medical Examiner's Office Medical Records Request.

      b) Do not include resident names in subject line.
ii. E-mail body:
   1) Use standard message language to clearly state your request or eFax purpose. (RCS eFax and email Script Messaging document is located on the RCS Intranet here).
      a) Individualize the provider / representative name and RCS contact information as needed.
      b) Include your signature block following DSHS communication standards.
iii. Attach documents in the order listed in the subject line:

   > Example Order: Letter, SOD, IDList

   1) The e-mail and any attachments will be generated as a one, multi-page fax document to the recipient.
   2) The following file types can be sent over eFax:
      a) Text formats: DOC, PDF, TXT
      b) Spreadsheet formats: XLS(X)
      c) Presentation formats: PPT
      d) Graphic formats: JPEG, GIF, TIFF, BMP, PNG
      e) HTML: HTM, HTML (not JavaScript)
      f) Print formats: PS, PCL

    d. Send "From" the designated fax Outlook folder.
       i. Select or enter the email address associated with the Outlook folder.
      ii. Click "Send."

2. eFax Confirmation
    a. eFax confirmation email will be returned to the Outlook eFax folder.
       i. The eFax confirmation includes the following information:
          1) "Sent to" Fax number
          2) Date/Time the eFax was sent
          3) Remote CSID (called subscriber information) - receiving fax machine
          4) Duration of eFax
          5) Status Results – success or fail
             a) If success – will show status as "OK"
             b) If Fail – will give reason such as "busy", "no answer", "no connection"
          6) Comment – Subject Line
      ii. Verify that the confirmation says **[OK]**[+1xxxxxxxxxx] (area code and fax number).
          1) A PDF of what was sent, as well as the sender's email message should be attached to the eFax confirmation as a single continuous document.
     iii. For SOD and Enforcement Letters, once eFax confirmation is received, place one call to the provider to verify that the fax was received. Preferably this is done as soon as the eFax confirmation is received but must be done no later than 24 hours from eFax confirmation.
          1) Document the name of the person who answered phone & verified fax receipt on the electronic SOD/POC tracking tool.
          2) If the person answering the phone says the fax was NOT received, confirm the email address, and send the SOD via email.

> Note: The SOD can be sent via regular email. The ID list must be sent via secure email.

          3) Date eFax confirmation is the date SOD was received.
          4) Document actions on the electronic SOD/POC tracking tool.
     iv. If eFax confirmation is verified, and no live person answers the call to the provider or home.
          1) Leave a message to call back to confirm that SOD was received.
          2) Send the SOD via email.

> Note: The SOD can be sent via regular email. The ID list must be sent via secure email.

          3) Date eFax confirmation is the date SOD was received.
          4) Document actions on the electronic SOD/POC tracking tool.

        a) If the eFax delivery email says "failed", then verify that you have the correct eFax number and resend the eFax. Call the provider or eFax recipient to communicate about eFax delivery and to verify accurate fax information."

    v. If a provider reports a changed Fax number:

        1) Use the changed Fax number to deliver documents; and

        2) Send a written (email or eFax message) to the provider or representative using standard RCS messaging language to request that they submit an Information Change request form to RCSBOA@dshs.wa.gov.

  b. Save the eFax *email correspondence* in the electronic SOD/POC tracking tool. This includes SODs sent by email to the provider or correspondence about receiving the SOD.

    i. eFax confirmation related to SODs and Enforcement letters are saved in Perceptive Content following procedures outlined in Service – Electronic Delivery (below).

    ii. eFax confirmation related to inspection, evaluation, or investigation work, sent by field staff, is saved with the working papers.

    iii. eFax confirmation not related to a SOD or Enforcement Letter does not need to be saved in working papers. Outlook is the document repository.

3. Service – Electronic Delivery

    i. For eFax of Service (SOD and/or enforcement letter), forward (email) eFax confirmation to rcspc@dshs.wa.gov. The eFax attachment showing what was faxed stays with the eFax confirmation. The attachment should not be sent separately to rcspc@dshs.wa.gov.

    ii. Once the eFax confirmation is sent to rcspc@dshs.wa.gov, transfer the eFax confirmation to the Outlook Fax Archive folder for each office.

    iii. Verify eFax confirmation presence of SOD / Enforcement in Perceptive Content.

        1) In the Secure Tracking and Reporting System (STARS) verify that the eFax SOD/Enforcement Letter Service confirmation has been linked and can be seen under "View Documents."

> Note: Complete a Helpdesk ticket if the eFax Service confirmation is not found in Perceptive Content.

4. Receiving an eFax via Email
Incoming faxes are delivered directly to an eFax Outlook inbox. Designated staff are assigned to manage and distribute incoming faxes.

Field staff are assigned to a Regional Outlook eFax folder for sending eFax.

D. Certified Mail

The Administrative Assistant 3 (AA) is responsible to eFax or send by certified mail with return receipt signed Statement of Deficiency/Plan of Correction (SOD/POC), SOD/POC with Consultation, and Consultation letters.

1. Certified Mail Procedure
   a. Materials Needed
      - Standard or large mailing envelope (standard size = approximately 10 pages)
      - Provider address label
      - USPS-Pitney Bowes Form 890-PB "certified mail tracking sticker" (electronic signature)
      - Consolidated Mail Services "pink slip", if needed for campus mail

      > Note: USPS-Pitney Bowes (PB) Form 890-PB can be ordered through the Department of Enterprise Services (DES). The pink slip has the contact information for consolidated mail services – to order the PB 890-PB sticker


   b. Preparing the U.S. Postal Service (USPS) Forms and Mailing Envelope
      i. Affix provider address label to standard size or large mailing envelope. If not using state seal envelope, ensure RCS return address label is also affixed to envelope.
      ii. Place documentation into the envelope (SOD/POC correspondence and Confidential Identifier List, if required) and seal the envelope.
      iii. Using the USPS Form 890-PB that was entered into STARS, affix the upper, larger portion of the sticker with the certified mail number onto the mailing envelope to the right of the return address and overlaps the top of the envelope. The smaller strip of the USPS Form 890-PB certified mail sticker can be discarded.

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iv. Mail the completed certified mailing envelope according to office outgoing mail procedures, using a consolidated mail service pink slip marked for certified mail, if applicable.

c. Certified Mail Delivery and Receipt
The provider will electronically sign for the certified mail delivery. The AA3 requests an Electronic Return Receipt using USPS Tracking Tool.
 i. Log into USPS Tracking.
 ii. Enter Tracking Number, and press Enter or click on Track button.

> Note: The article must be active in the USPS system before you can proceed. **This means that you will not be able to receive a return receipt until and unless the letter is delivered.**

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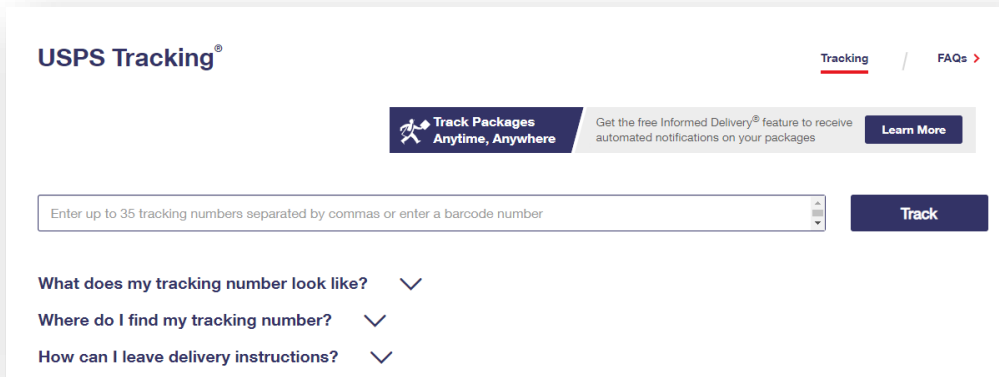
iii. Scroll to the Return Receipt Electronic section.
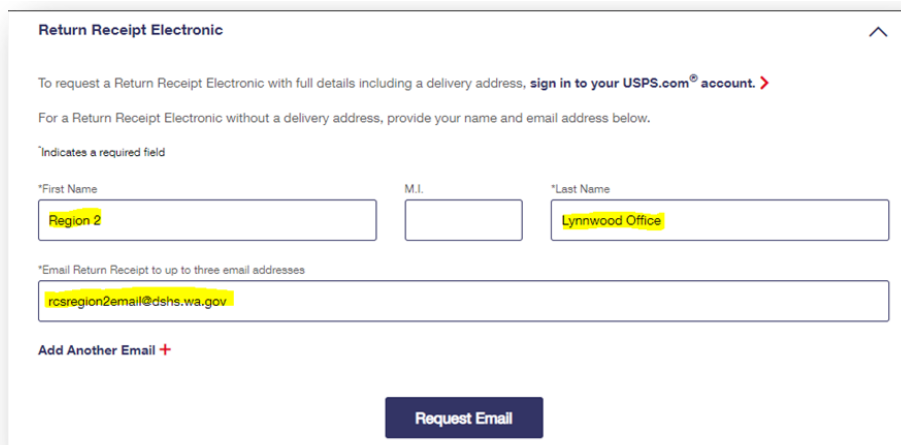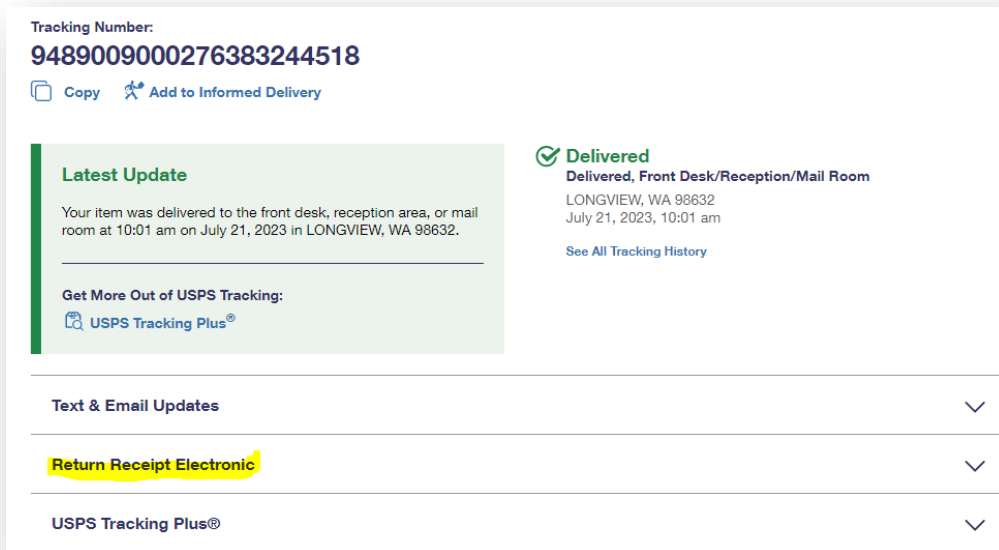
iv. Enter *Region or RCS Headquarters* in the First Name box.

v. Enter *Office Location* in the Last Name box (e.g., Vancouver Office).

vi. Enter *Region Email or Unit Email* address in the Email Return Receipt box:

- RCS Region 1 Email (DSHS/ALTSA/RCS) rcsregion1email@dshs.wa.gov
- RCS Region 2 Email (DSHS/ALTSA/RCS) rcsregion2email@dshs.wa.gov
- RCS Region 3 Email (DSHS/ALTSA/RCS) rcsregion3email@dshs.wa.gov

vii. USPS will send a confirmation email with attachment.
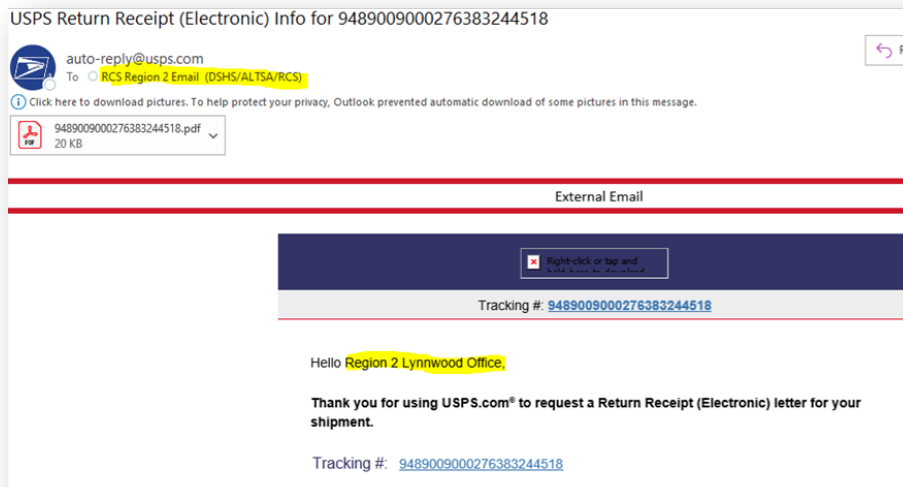
viii. Send confirmation email with attachment showing electronic signature to Perceptive Content at rcspc@dshs.wa.gov using the following format for the email subject line:

CD #	License #	Facility Name	Certified Confirmation #	Date confirmation received
20498	1123	Shady Lane Assisted Living	Certified Mail Confirmation	07-25-23

Example: 20498 1123 Shady Lane Assisted Living Certified Mail Confirmation 07-25-23
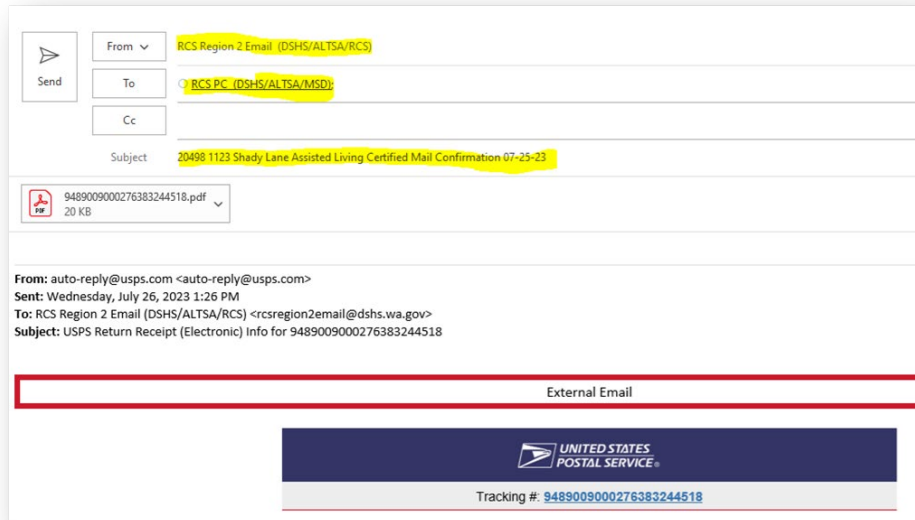
ix. If the delivery status is not available, re-schedule a delivery.

x. If the there is no e-signature entered into the tracking system by USPS, print the status page (that shows delivery) and send to rcspc@dshs.wa.gov as proof of service. Use standard subject line information.

E. Forms and Document Standards

1. Forms:

   RCS staff will use standard DSHS forms when available.

   a. Forms needed for RCS standard work that are intended for use statewide must be designed by DSHS Forms and have an assigned DSHS form number in the lower left corner. To initiate this process, please contact your RCS Forms Coordinator.

   b. Individual offices should refrain from developing their own forms that meet the above criteria.

   c. Edits to existing DSHS forms should also go through the RCS Forms Coordinator. The form owner will request a version of the form (include DSHS Form #) unlocked for editing.

2. Documents (Minimum Standards):

   Any documents created for RCS work will meet minimum standards and DSHS Style Guidelines.

   > Examples of Internal Documents: Internal education, Frequently Asked Questions (FAQ), meeting minutes, support documents.

   a. **Header:** All documents must have a header, which includes the name of the document in a font size that is substantial enough to be clear what the document's purpose is.

   b. **Origin:** RCS must be named on each page in the header or footer.

   c. **Date:** Every page of a document should have a date in the header or footer

   d. **Page Numbers:** Every page of a document should have a page number in the header or footer using the 'Page x of x' format.

   > Example: Page 1 of 2, Page 1 of 3

Part II: Administrative Assistant Work

Overview

Delegated administrative work may include but is not limited to:

- Maintaining communication with State and Federal entities.
- Correspondence with parties requesting or receiving information from RCS such as the long-term care ombuds, attorney general's office, public complainants, provider associations, providers, advocacy associations and public.
- Effectively using Microsoft tools, RCS data systems, and Federal data programs to track, manage and report on regulatory work.
- Managing communication and resolving issues around receipt, submission, and time frames for statement of deficiencies (SOD) reports, enforcement actions, and provider attestation or plans of correction (POC) to ensure federal and state requirements are met;
- Setting up, managing, and record keeping for meetings.
- Office management, including ordering, maintaining, and tracking equipment and supplies, correspondence/mail, and ensuring record management meets statutory and state requirements.
- Orienting and supporting professional staff to RCS administrative procedures, practices, policies, and computer systems.
- Collaborating across and within units, regions, and divisions to complete assigned duties in a timely, efficient, and accurate manner that adheres to policies and regulations and ensures a division culture that values learning, respect, improvement, teamwork, and adaptability.
- Tracking, analyzing, and reporting on internal and external performance measures.
- Participating in continuous improvement efforts and strategies and/or workgroups to improve workflow or solve new or unusual problems.

Procedure

1. RCS administrative staff will follow standard procedures to complete administrative work.
    a. Administrative staff collaborate to draft procedures and establish work processes.
    b. Administrative procedures are formalized in a desk manual using a standard format.
    c. RCS staff identify when administrative procedures need to be written, updated, or retired. Staff use the AA Desk Manual Update & Training Requests Form to:
      - Report a broken link.
      - Request a procedure update.
      - Request a new procedure be written or included.
      - Make an AA training request.
      - Other: Anything related to the Desk Manual.
    c. The AA Quarterly Meeting Workgroup will review, assign, and manage Desk Manual update and Training requests listed on the AA Desk Manual Update & Training Requests Form.

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      i.   AA staff will be informed of the outcome of requests at the quarterly meeting or through other RCS communication channels.

     ii.   Written administrative procedures are modified after review by staff using the procedure.

d. RCS Administrative staff are trained using a standard administrative orientation checklist.

      i.   The standard administrative orientation checklist is based on expected and/or anticipated duties.

     ii.   RCS staff identify when the standard administrative orientation checklist topics need to be added, updated, or retired.

    iii.   The standard administrative orientation checklist is modified after review by staff performing the work.

    iv.   The standard administrative orientation checklists are posted on the [DSHS Forms Site](#). Changes to the forms can be made by contacting the DSHS Records Manager.

        1) [RCS AA3 Orientation Checklist (DSHS 02-747)](#)

        2) [RCS AA4 Orientation Checklist (DSHS 02-748)](#)

e. RCS Administrative staff collaborate and/or receive ongoing training:

      i.   During monthly RCS support calls and featured trainings.

     ii.   At Administrative specific meetings.

    iii.   During office or unit-based meetings or huddles.

    iv.   From courses in the Washington State Learning Center (WSLC), Aging and Long-Term Support Administration (ALTSA), other state agencies, and private vendors according to their personal development goals and opportunities.

Part III: Smartsheet Governance

Purpose

Managing and communicating project work is essential to organizational effectiveness. The Smartsheet web-based platform allows RCS to collaborate, manage, visualize, and report on work. Smartsheet features include the ability to automate workflows and visualize work progress using a Dashboard. Use of Smartsheet meets the strategic goal of increased organizational efficiency, performance, and effectiveness. RCS uses the full name "Smartsheet" and does not use any abbreviations to avoid confusion or misunderstanding with other similar terms or acronyms.

A. Permission Levels

There are five permission levels in Smartsheet. Permission levels are set by Licensed Users.

1. **Viewer** – View all sheet data, including comments; Export a sheet or report; Sort unlocked rows and freeze columns without saving; Download attachments in a sheet or report; Filter data in sheets with the Unnamed Filter; Apply saved filters (not available for Pro plan).
2. **Commenter –** Same permissions as Viewer. In addition – Can add new attachments and comments in a sheet or report.
3. **Editor –** Editor "share" permissions can be set at two levels – "can share" or "cannot share". The editor has the same permissions as a Commenter. In addition – an Editor can edit unlocked rows and columns in a sheet; Insert rows; Move rows within a sheet; Move rows to another sheet; Delete unlocked rows; Enable or disable Highlight Changes in a sheet or report; Save changes after sorting rows or freezing columns; Name filters to save them.
4. **Administrator –** Same Permissions as Owner except cannot rename a sheet or report or delete a sheet or report/restore a deleted sheet or report. Administrators manage data entered onto the sheet, work with the sheet owner to revise the sheet if improvements or changes or needed and alert the Licensed User when the sheet is no longer needed so that the sheet can be deactivated or retired.
5. **Owner –** Licensed Users are the owners of every sheet they build. The Smartsheet owner has full functionality of every Smartsheet feature.
   a. Sharing Permissions are granted by the Licensed User (owner). An owner can share an item to others with Admin, Editor or Viewer permissions.
   b. An owner may act as a sheet administrator or assign an administrator to manage a sheet.
   c. Sheet ownership must be transferred from one Licensed User to another in the event the Licensed User (owner) leaves RCS.

Smartsheet Permission Levels

	Viewer	Commenter	Editor	Administrator	Owner
Apply saved filters	✓	✓	✓	✓	✓
Can disable or delete any automated workflows for themselves	✓	✓	✓	✓	✓
Create and edit row-level reminders for themselves	✓	✓	✓	✓	✓
Create and edit sheet-level reminders for themselves	✓	✓	✓	✓	✓
Download attachments in a sheet or report	✓	✓	✓	✓	✓
Export a sheet or report	✓	✓	✓	✓	✓
Filter data in sheets with the "unnamed filter"	✓	✓	✓	✓	✓
Save a sheet as a template	✓	✓	✓	✓	✓
Send a sheet or report via email to self or others	✓	✓	✓	✓	✓
Send rows via email to self or others	✓	✓	✓	✓	✓
Sort unlocked rows and freeze columns without saving	✓	✓	✓	✓	✓
Use 'save as new' command to save as a new sheet	✓	✓	✓	✓	✓
View all sheet data, including comments	✓	✓	✓	✓	✓
Add new attachments and comments in a sheet or report		✓	✓	✓	✓
Delete unlocked rows				✓	✓
Edit unlocked rows and columns				✓	✓
Edit unlocked rows and columns in a sheet				✓	✓
Enable or disable highlight changes in a sheet or report				✓	✓
Freeze columns				✓	✓
Insert rows				✓	✓
Move rows to another sheet				✓	✓
Move rows within a sheet				✓	✓
Name filters to save them				✓	✓
Save changes after sorting rows or freezing columns				✓	✓
Send and edit update requests				✓	✓
Share a sheet or report				✓	✓
Add and remove columns					✓
Can disable or delete any automated workflows for other sheet collaborators					✓

Create and edit automated workflows (i.e., approval requests)					✓
Create and edit row-level reminders for other sheet collaborators					✓
Create and edit sheet-level reminders for other sheet collaborators					✓
Create and manage forms					✓
Create, edit, and delete shared filters					✓
Edit cells in locked columns or rows					✓
Edit conditional formatting rules					✓
Hide or unhide columns					✓
Insert, rename & delete columns, change column properties					✓
Lock or unlock columns and rows					✓
Modify the report builder criteria					✓
Move columns within a sheet					✓
Publish a sheet or report					✓
Rearrange columns					✓
Sort locked rows					✓

B. Roles and Responsibilities

1. RCS Smartsheet Division Administrator
   a. Manages licenses
   b. Provides oversight for Smartsheet Standard Operating Procedures (SOP), including ensuring that Smartsheet Licensed Users receive standard training and support
   c. Leads the Smartsheet Community of Practice and supports use of Smartsheet as a division resource.

2. RCS Smartsheet Licensed User
   a. Serves as a Smartsheet resource for the entire RCS Division.
   b. Must complete 14-hour minimum training within three months of Licensed User assignment.
   c. Builds templates to meet business and unit needs.
      i. All Licensed Users must list the Smartsheet they own (created) on the RCS Smartsheet inventory list Smartsheet Inventory - Smartsheet.com. This allows RCS to identify owners should the sheet need to be transferred from one Licensed User to another.
      ii. Modifies templates on request of Administrator and/or Free Users.
      iii. Assists in building sheets outside of their assigned unit as time and workload allow.
   d. RCS Licensed Users participate in the Smartsheet Community of Practice to support, maintain and develop Smartsheet use across the Division.
      i. Acts as subject matter expert (SME) to Free Users and RCS administration.
      ii. Serves as backup to other Licensed Users when on leave or if there is a vacant Licensed User unit position.
      iii. May be asked to train staff on how to use Smartsheet.
      iv. If volume of Smartsheet development and maintenance exceeds 20% of work time – alerts the Smartsheet Division Administrator so that work can be distributed, or additional Licensed Users assigned to the unit.

3. Smartsheet Community of Practice
   a. The RCS Smartsheet Division Administrator schedules Community of Practice quarterly (and as needed) meetings with Licensed Users to review:
      i. Licensed Users: Share what is going well, learning, tips, and tricks, identify help needed.
      ii. Administrator: Go over Smartsheet requests and assignments and facilitate response to build requests.
      iii. Discuss anything new in Smartsheet world – such as the annual Smartsheet meeting every Fall or other educational opportunities.
   b. Use Teams site posts to communicate and request peer assistance between scheduled meetings.
   c. Use Teams files to store Smartsheet training resources, documents, and meeting notes.

C. Smartsheet as a Division Resource

Smartsheet is used to track, report, and manage data and timelines. RCS purchases Smartsheet licenses in bundles of 10 for division use to meet business operation needs. The Director and Division Smartsheet Administrator collaborate to determine how and where licenses will be assigned.

- Units with a high volume of work to track and manage may have one or more Smartsheet Licensed Users per unit.
- Units with shared need for the same work related to data and timeline management may have one shared Licensed User.
- Units without a Licensed User may request a Smartsheet license by sending a request to the Smartsheet Division Administrator.

1. Removing a License

a. The Director and Smartsheet Division Administrator have the right and responsibility to reallocate or remove Smartsheet licenses to meet RCS business needs.

b. Licensed Users notified of license removal will communicate with the Divisional Smartsheet Administrator to ensure that all sheets owned by the Licensed User are identified, listed, and transferred to an identified Licensed User to maintain continuity of business operations by a specified time and date.

c. The Divisional Smartsheet Administrator notifies Smartsheet of the removal.

2. Transfer of Smartsheet Ownership

Smartsheet ownership for existing sheets must be transferred before a Licensed User leaves RCS employment. Sheet ownership can be transferred following directions from the Smartsheet help and learning site.

a. https://help.smartsheet.com/articles/520103-change-the-owner-sheet-report-dashboard

b. https://help.smartsheet.com/articles/506692-transfer-ownership-of-a-workspace

c. If unable to successfully transfer sheet ownership, Licensed Users may do one of the following:

   i. Call the Smartsheet Pro Desk

     1) Each Licensed User gets six Pro Desk calls per year. To make best use of the Pro Desk resource, it is best practice to make multiple requests for support or clarification on each call.

     2) Pro Desk Number US and Canada 1 (844) 498-5364

     3) DSHS Access Code: 21429393

   ii. Enlist the help of Technology Innovation Administration (TIA) Smartsheet Support staff

d. The receiver of the transferred Smartsheet(s) must accept the transfer for the sheets to show up in their workspace.

D. Template Build Requests

Smartsheet build requests are submitted by completing the Smartsheet request form. Requests are tracked on the Smartsheet request template. An automated Smartsheet build request message is sent to the designated business area Smartsheet Licensed User.

Licensed User Response to a Build Request:

1. Receives Smartsheet request by automated message.
2. Reviews the request within five working days. If the Licensed User is on leave or unavailable to respond to a request in five working days, a Smartsheet designee will be assigned so that another person can respond to requests within the five days.
    a. Ask: Any fields unanswered or unclear?
3. Contacts the requester to confer about the request.
    a. Determines work to be done and timeline.
    b. Ask: Who is impacted? What maintenance is required? Who is Smartsheet administrator? What permissions are needed for those involved?
4. Applies prioritization matrix to determine if request can be accommodated with current workload in requested timeline.
    a. If Request is Approved
        i. Discuss and agree to timeline and communication method and frequency (such as weekly status emails) with requestor for Smartsheet development.
        ii. Identify who will administer the sheet once the sheet is built.
        iii. Document assignment acceptance on the Smartsheet request list.
    b. If Request cannot be accommodated with current workload in requested timeline
        i. Notify Licensed User's manager of inability to accommodate request and reason.
        ii. Put request out in Teams chat to see if any other Smartsheet Licensed User can pick up the build request.
        iii. Notify the Smartsheet Division administrator of referral.
            1) If no Smartsheet Licensed User responds to the build request voluntarily, the RCS Smartsheet Division Administrator will determine if one of the other RCS Licensed Users can build the sheet.
            2) The Smartsheet Division Administrator will communicate the determination to the requestor that:
                a) Smartsheet is not the right tool to meet the requestor need.
                b) There is not an available Licensed User to accommodate the request or timeline.
5. Licensed Users Track Smartsheet templates built on the RCS Smartsheet tracking tool.

E. Document Management and Control

Smartsheet can be used to store documents and communication securely for purposes of project management, work flow, communication, collaboration, notifications, and temporary secure storage. Smartsheet is not considered the final document repository for RCS records related to regulatory work that may be used to determine licensure and compliance. Documents relating to licensure and compliance that must be retained for historical reference are stored in the RCS Record Management Tool (RMT) or secure shared file system.

Retired and inactive Smartsheets will be stored in an Archive folder within the Smartsheet Governance Workspace. Smartsheet retention follows DSHS record retention timelines.

F. Smartsheet Training

1. Licensed User Training
   All Licensed Users must complete 14 hours of Smartsheet training through Smartsheet University within 3 months of assignment as a Licensed User
   a. Week 1 – Managing Your Work with Sheets
   b. Week 2 – Writing Formulas in Smartsheet
   c. Week 3 – Collaborating in Smartsheet
   d. Week 4 – Automating Your Workflows
   e. Week 5 – Collecting Information with Forms
   f. Week 6 – Reporting on Your Work
   g. Week 7 – Communicating with Dashboards
   h. Week 8 – Complete Capstone Exercise
2. Free User Training
   All Smartsheet Free Users must complete the Smartsheet User Training Attestation prior to using Smartsheet templates so that they can be successful in using Smartsheet templates.

Part IV: Appendices

A. Resources

1. RCS e-Fax and email script messaging document
2. Smartsheet Request Form
3. Smartsheet Weight and Priority
4. Smartsheet Development Status
5. Smartsheet Development Request Tracker
6. Smartsheet Inventory List
7. Smartsheet Inventory Dashboard

B. Background, RCWs, and WACs

1. Electronic Signatures

RCW 1.80.010(10) defines an electronic signature as an electronic sound, symbol, or process attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record. RCW 1.80.060(4) states that if a law requires a signature, an electronic signature satisfies the law.

There are four major signing requirements that electronic signatures must satisfy to be valid. Those requirements are:
- The parties must intend to sign;
- The parties must consent to doing business electronically;
- There must be a connection between the electronic signature and the associated record; and
- The electronic signature records created for each transaction must be capable of retention and accurate reproduction for reference by all parties entitled to retain the contract or document.

Although signatures are desired to show an intent (agreement, approval, or acknowledgment), internal RCS documents are not legally required to have a signature. Signatures reinforce the significance of the undertaking and gives the transaction a formal tone.

External RCS documents (letters, statements of deficiency, provider communication) are also not legally required to have a signature, however signatures are requested to identify the signer and show the authority and integrity of the document or message. RCS staff must use digitized signatures for external documents to meet.

RCS staff must use digitized electronic signature for external documents and have the choice of either using a digitized electronic signature or Adobe Acrobat Sign for internal documents. These processes meet the four major signing requirements by establishing the intent to sign by inserting or applying the drawn or digital signature to a document or letter in the signature space. The signature becomes associated with the record when applied or embedded. The digital signature is an authentic signature specific to the individual. The integrity of the signed record is maintained when the electronic document is saved according to standard document naming and saving procedures. This includes saving documents in RCS data systems or Perceptive Content, which is part of the DSHS Enterprise Content Management system.

2. Related RCWs, WACs, and Policies:

- RCW 1.80.060, Legal recognition of electronic records, electronic signatures, and electronic contracts.
- RCW 1.80.070, Provision of information in writing—Presentation of records.
- RCW 1.80.080, Attribution and effect of electronic record and electronic signature.
- RCW 1.80.110, Retention of electronic records—Originals.
- RCW 1.80.160, Creation and retention of electronic records and conversion of written records by governmental agencies.
- RCW 1.80.170, Acceptance and distribution of electronic records by governmental agencies.
- WAC 388-76-11080 Notice—Service complete. Adult Family Homes
- WAC 388-78A-4000 Notice—Service complete. Assisted Living Facilities
- WAC 388-97-4425 Notice—Service complete. Nursing Homes
- WAC 388-107-1560 Notice—Service complete. Enhanced Services Facilities
- WAC 388-101-4350 Notice—Service complete. Certified Community Residential Services and Supports
- WAC 388-76-11085 Notice—Proof of service. Adult Family Homes
- WAC 388-78A-4010 Notice—Proof of service. Assisted Living Facilities
- WAC 388-97-4430 Notice—Proof of service. Nursing Homes
- WAC 388-107-1570 Notice—Proof of service. Enhanced Services Facilities
- WAC 388-101-4360 Notice—Proof of service. Certified Community Residential Services and Supports

C. Glossary of Terms

Adult Family Home (AFH) – State licensed residential homes to care for two to eight vulnerable adults who may have mental health, dementia, and/or developmental disability/special needs. The homes are private businesses providing each person with a room, meals, laundry, supervision, assistance with activities of daily living, and personal care. Some provide nursing or other special care and services.

Aspen (Automated Survey Process Environment) – a suite of software applications designed to help State Agencies collect and manage healthcare provider data.

Assisted Living Facility (ALF) – State licensed facilities providing basic services assuming general responsibility for the safety and well-being of vulnerable adults. ALFs allow the vulnerable adults to live an independent lifestyle in a community setting while receiving necessary services from a qualified workforce. ALFs can vary in size and ownership from a family-operated 7-bed facility to a corporation-based facility with 150+ beds. ALFs may provide intermittent nursing services or serve vulnerable adults with mental health needs, developmental disabilities, or dementia.

Attestation – A witnessed declaration executing an instrument in his or her presence according to the formalities required by law.

Certified Community Residential Services and Supports (CCRSS) – Includes Supported Living (SL), Group Homes (GH), and Group Training Homes (GTH). These are residential services provided to individuals who are eligible clients of the Developmental Disabilities Administration (DDA). Supported living clients are vulnerable adults living in their own homes in the community. The client or legal representative owns, rents, or leases the home.

Certified Group Home – A community-based licensed and certified residential program where the provider, who contracts with the Department of Social & Health Services (DSHS), DDA to provide residential services, owns, or leases the facility. The majority are privately owned businesses. The homes vary in size, serving from 4 to 10 clients.
Residential Care Services (RCS) licenses the home as either an Assisted Living Facility or an Adult Family Home and certifies the group home through a separate process. This supports the provision of services at the levels required by the DDA contract.

Room and board expenses are included in the rate paid by DDA and the clients participate toward their cost of care. DDA contracts with these providers to provide 24-hour supervision.

Certified supported living services – Residential services provided to DDA clients living in their own homes in the community. DDA contracts with individuals and agencies to provide these services. Clients pay for their own rent, food, and other personal expenses. Supported living offers instruction and support, which may vary from a few hours per month to 24 hours of one-on-one support per day. DDA pays for residential services provided to clients under Department contract at the contracted rate.

Code of Federal Regulation (CFR) – The Departments and Agencies of the Federal Government providing codification of the general and permanent rules published in the Federal Register.

Community programs – includes Adult Family Homes (AFH), Assisted Living Facilities (ALF), Certified Community Residential Services and Supports (CCRSS), and Enhanced Services Facilities (ESF).

Consultation in AFH – Documentation of a first-time violation of statute or regulation with minimal or no harm to residents identified in an adult family home. Documentation of a consultation includes an entry made on the cover letter that consists of a regulatory reference to the Washington Administrative Code (WAC) requirement and/or Revised Code of Washington (RCW) and a brief (3 – 4 sentences) statement summarizing the deficient practice.

Consultation in an ALF – Documentation of a first-time violation of statute or regulation with minimal or no harm to the vulnerable adults residing in the ALF. Consultations are never written for care and services or safety areas that will impact the vulnerable adults living in the ALF. A Consultation is a violation that does not require an attestation. Consultation in an ALF may also occur if the entity corrects the violation and/or the deficient practice meeting the following criteria:
- Is corrected to the satisfaction of RCS prior to the exit;
- Is not a violation of a statute or regulation that was cited in one of the two most recent preceding regulatory processes; and
- Did not pose a significant risk of harm or actual harm to a vulnerable adult.

Consultation in CCRSS – A consultation may be considered if:
1. The provider corrects the deficient practice to the satisfaction of the department prior to the exit;
2. The violation has not been cited in one of the two most recent preceding certification evaluations or complaint investigations during that time period; and
3. The violation did not pose a significant risk of harm or actual harm to a client.

The following will *not* be considered for a consultation:
- Fire Safety
- Medications
- Background Check information.

Consultation in an ESF – Documentation of a first-time violation of statute or regulation with minimal or no harm to vulnerable adults residing in the ESF. Documentation of a consultation includes an entry made on the cover letter that includes both:
- A regulatory reference to the Washington Administrative Code (WAC) requirement and/or Revised Code of Washington (RCW); and
- A brief (3 – 4 sentences) statement summarizing the deficient practice.

Cover Letter – A cover letter is the document used in Community Programs to communicate the determination of noncompliance with the regulatory requirements to the entity. The cover letter is an official, legal record that is available to the public on request.

eFax – is the use of the internet and email to send a fax (facsimile), rather than using a standard telephone connection and a fax machine.

Enhanced Services Facilities (ESF) – means a facility that provides support and services to persons for whom acute inpatient treatment is not medically necessary. RCW 70.97.010.

Identifier – The name, title, or letters/numbers referring to entity staff or those living in the residential setting within a Statement of Deficiency, following guidance contained within SOP Chapter 18 – Across All Settings and Principles of Documentation (POD).

Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID) – The Social Security Act created this optional Medicaid benefit to fund "institutions" (four or more beds) for individuals with intellectual disabilities. The Secretary defines this as providing "active treatment."

Nursing facility (NF) – a nursing home, or any portion of a hospital, veterans' home, or residential habilitation center, that is certified to provide nursing services to Medicaid recipients under section 1919(a) of the federal Social Security Act. All beds in a nursing facility are certified to provide Medicaid services, even though one or more of the beds are also certified to provide Medicare skilled nursing facility services.

Nursing home (NH) – A term that can include both 24-hour Skilled Nursing Facilities (SNF) and Nursing Facilities (NF). SNFs are those that participate in both Medicare and Medicaid. NFs are those that participate in Medicaid only.

Proof of Service – means notification sent to a provider by way of a declaration of personal service; an affidavit or certificate of mailing; a signed receipt from the person who accepted the certified mail or package delivery; or proof of fax transmission. Any of these methods confirms that notice was sent to a provider when the State is going to take action related to that provider. WAC requires notice be served for the following communications: Written Consultation, Statements of Deficiency, and Enforcement Letters.

Reporter (Complainant) – means the individual making the report of alleged abuse, neglect, financial exploitation, or other non-compliance with regulatory requirements to the CRU. Reporter types are *Public, Facility, State Employees, Law Enforcement or Anonymous*.

- **Public** – are generally residents or clients, family of residents or clients, Long Term Care Ombudsman staff, facility staff when it is clear they are not making an official facility report or are reporting as whistle blowers, hospital staff, and teachers.

- **Facility** – are generally facility or agency Administrators or other management staff making a report as the official "facility" or provider report, staff who leave the facility/agency phone number and give permission to call them back, staff who state they reported their call to the hotline to their management.

- **State Employees** – are generally DSHS staff who are making a report in the natural course of their job duties.

Revised Code of Washington (RCW) – The compilation of all permanent laws now in force. It is a collection of Session Laws (enacted by the Legislature, and signed by the Governor, or enacted via the initiative process), arranged by topic, with amendments added and repealed laws removed. It does not include temporary laws such as appropriation acts.

Skilled nursing facility (SNF) – a nursing home, a portion of a nursing home, or a long-term care wing or unit of a hospital that has been certified to provide nursing services to Medicare recipients under section 1819(a) of the federal Social Security Act.

Statement of deficiencies (SOD) – The official, publicly-disclosable, written report document from RCS staff that identifies violations of statute(s) and/or regulation(s), failed facility practice(s) and relevant findings found during a complaint/incident investigation conducted at an any setting regulated by RCS. Included in SODs for AFHs, ALFs, and ESFs is an attestation statement the entity signs and dates indicating the projected correction date for the cited deficient practice. The SOD is a legal document available to the public on request.

Smartsheet – is a web-based data and work management tool that includes functional elements of a traditional spreadsheet as well as the ability to notify parties when work is due and track information and communication in the tool.

Smartsheet Templates - Structured model to plan, track, monitor and report work tasks, resources, timelines, schedules, and responsibilities.

Smartsheet User Types User types impact how one interacts with Smartsheet.

a. **Licensed User:** user who can create new items in Smartsheet including sheets, reports, and dashboards, and share them with others.

b. **Free User:** someone who does not have a paid Smartsheet license. Free users use templates to track work. They can view and edit the items they have been shared to, but do not have the ability to create their own items. Anyone not designated as a Licensed user is a Free user. Free Users report concerns/issues/ideas for improvement to Licensed User.

Washington Administrative Code (WAC) – Regulations of executive branch agencies issued by authority of statutes. Similar to legislation and the Constitution, regulations are a source of primary law in Washington State. The WAC codifies the regulations arranging them by subject or agency.

Working days (business days) – defined as Monday through Friday, excluding federal and state holidays.

D. Acronym List

AA	Administrative Assistant
AFH	Adult Family Homes
ALF	Assisted Living Facilities
ALTSA	Aging and Long-Term Support Administration
ASPEN	Automated Survey Processing Environment
BMP, GIF, JPEG, PNG, TIF, TIFF	File formats (and their extensions)
CC	Carbon Copy (in emails)
CCRSS	Certified Community Residential Services and Supports
CD	Compliance Determination
CFR	Code of Federal Regulations
CMS	Center for Medicare and Medicaid Services
DES	Department of Enterprise Services
DSHS	Department of Social and Health Services
eCFR	Electronic Code of Federal Regulation
ePOC	Electronic Plan of Correction
ESF	Enhanced Services Facilities
FAQ	Frequently Asked Questions
FM	Field Manager
GH	Group Home
GTH	Group Training Home
NF	Nursing Facility
NH	Nursing Homes
PB	Pitney Bowes
PDF	Portable Document Format
POC	Plan of Correction
RCS	Residential Care Services
RCW	Revised Code of Washington
RMT	Records Management Tool
SL	Supported Living
SME	Subject Matter Experts
SNF	Skilled Nursing Facility
SOD	Statement of Deficiency
SOP	Standard Operating Procedures
STARS	Secure Tracking and Reporting System
TIA	Technology Innovation Administration
USPS	United States Postal Service
WAC	Washington Administrative Code
WSLC	Washington State Learning Center

E. Change Log

Eff. Date	Chapter/ Section #	Description of the Change	Reason for Change	Communication and Training Plan
04/30/2024	Part IV	Moved Appendices to Part 4 Revised and updated information in Appendices	Moved Section and revised content to align with Chapter changes	MB R24-039 Weekly Update 3/1/24 review of SOP changes
04/30/2024	Part III	Added Smartsheet and Forms & Document Standards content	New Procedures	MB R24-039 Weekly Update 3/1/24 review of SOP changes
04/30/2024	Part 1 E, F, G	Moved Scanners and Shared Files information to Chapter 23

Moved 9/80 Alternate Schedule Guidelines to Chapter 24 | Moved Scanners and Shared Files to align with Record Management chapter contents. Moved 9/80 section to Employment Procedure Chapter to align with chapter contents | MB R24-039 Weekly Update 3/1/24 review of SOP changes |
04/30/2024	Part 1	Updated eFax procedure	Updated to reflect change in procedure	MB R24-039
10/13/2023	Part II Administrative Work	Subchapter development	To provide guidance to staff	MB R23-084
10/13/2023	Part I: D Certified Mail	Subchapter Development	To provide guidance to staff	MB R23-084
10/13/2023	Ergonomics	Section removed	Placed in newly developed Occupational Health Chapter 21	MB R23-084
10/13/2023	PPE Management	Section removed	Placed in newly developed Occupational Health Chapter 21	MB R23-084

Eff. Date	Chapter/ Section #	Description of the Change	Reason for Change	Communication and Training Plan
09/08/2023	Part I: C Service – Electronic Delivery	Subchapter development	To provide guidance to staff	MB R23-074
09/08/2023	Part I: E Scanners	Subchapter Development	To provide guidance to staff	MB R23-074
09/08/2023	Part I: G 9/80 Guidelines	Subchapter update	To clarify guidance for RCS staff related to alternate work schedules	MB R23-074 • Training provided during 08/01/2023 Support Call
09/08/2023	Part II: Ergonomics	Subchapter Development	To provide guidance to staff	MB R23-074 • Training provided during 08/01/2023 Support Call
02/17/2023	Full Chapter	Chapter development	Information to all RCS staff	MB R23-016